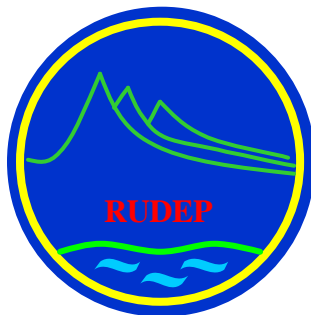


QUANG NGAI RURAL DEVELOPMENT
PROGRAM (RUDEP) - PHASE 2

Capacity Building Guidelines and Procedures
Manual



VIET NAM-AUSTRALIA

Prepared for

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30 September 2003

VIE1506

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Acronyms

ATL	Australian Team Leader
CBO	Capacity Building Officer
CBS	Capacity Building System
CBT	Competency Based Training
CCG	Commune Contact Group
CP	Capacity Profile
DARD	Department of Agriculture and Rural Development
DCG	District Commune Group
DDO	District Development Officer
M&E	Monitoring and Evaluation
PA	Performance Analysis
PMU	Program Management Unit
RUDEP	Quang Ngai Rural Development Program
SPA	Staff Performance Assessment
TNA	Training Needs Analysis
TNI	Training Needs Identification

RUDEP Capacity Building Glossary of Terms

Capacity Building System	An organisation improvement system which ensures that an organisation's personnel, management and procedures grow in efficiency and effectiveness and are continually aligned with the prime purpose of the organisation.
Capacity Profile	A diagram which shows the performance requirements for a group of personnel, for example a Commune Contact Group. A capacity profile also shows what subordinate skills and knowledge are required for different performance areas and how they are related.
Competency Based Training	A system of instruction where all qualified learners achieve a pre defined level of competence.
Control sheet	A page in the front section of a training manual which lists the modules and records the participants progress through the course. It records what training modules the participant has demonstrated competence in and that are signed off by the instructor.
Course Map	Similar to a capacity profile. It shows how each of the course modules (and objectives) are related to the overall course objective.
Performance Analysis	A process of analysing staff performance problems.
Staff Performance Assessment	An annual or six monthly meeting between and supervisor and employee to assess work performance against agreed targets for key performance indicators. It also provides an opportunity to identify training needs and to discuss career goals.
Training Needs Identification	A process for identifying who needs training and in what.
Training Needs Analysis	TNA is a process that determines the content of training. It is a process for breaking down a job into its component parts for training purposes. Tools such as task analysis, target population description, fault analysis, knowledge analysis, and hazard analysis are commonly used. In RUDEP this has been achieved though the preparation of capacity profiles. If further analysis of work is required it will be done by expanding part of a capacity profile.

1 Overview of the Capacity Building System

The Quang Ngai Rural Development Program (RUDEP) Capacity Building System (CBS) has a prime aim of developing the Program's human resources. A CBS can be defined as an organisation improvement system which ensures that the organisation's personnel, management and procedures improve in efficiency and effectiveness and are continually aligned with the prime purpose of the organisation. The RUDEP CBS is shown in Figure 1. Key elements are:

Capacity Profiles (CP) – A diagram which shows the performance requirements for a group of personnel. It shows what subordinate skills and knowledge are required for different performance areas and how they are related. CPs have been prepared for several priority groups within RUDEP. This was done by reviewing current RUDEP operational guidelines and procedures, job descriptions, and interviews with staff:

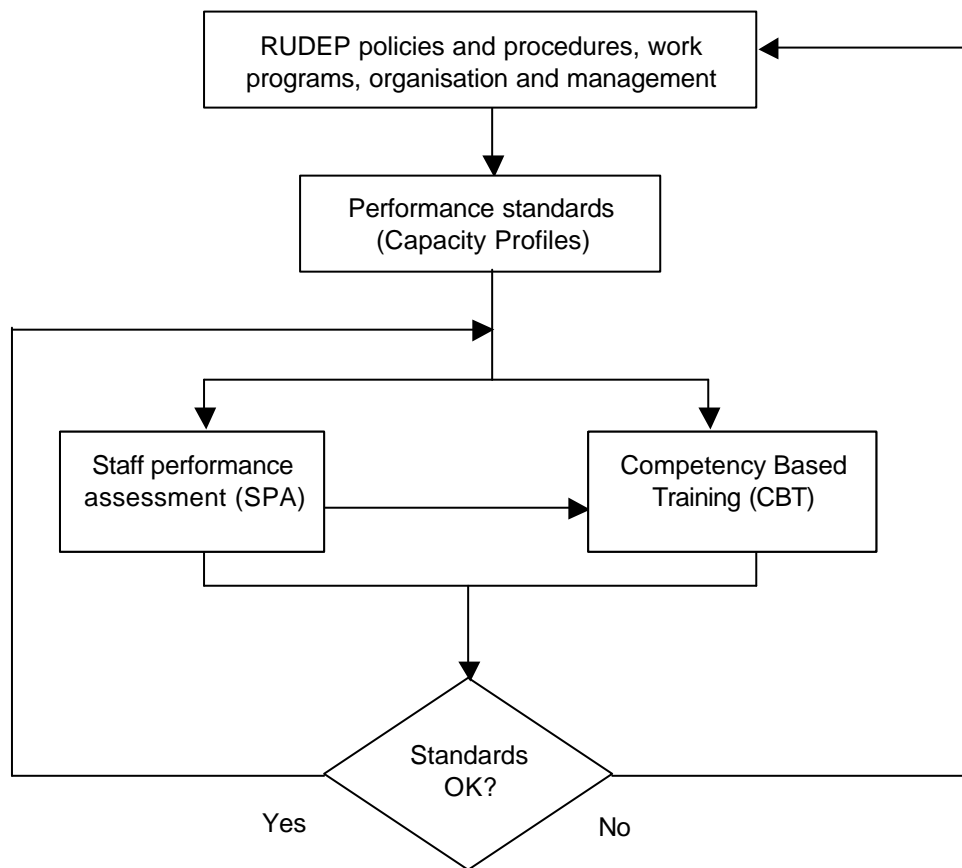
- District Development Officers (DDO)s
- District Contact Groups (DCG)s
- Commune Contact Groups (CCG)s
- Project Management Unit (PMU)
- Farmers

Competency Based Training (CBT) – A system of instruction where all qualified learners achieve a pre-defined level of competence (ie competence defined in the relevant capacity profile). Qualified learners are those who fall within the defined entry levels for particular courses. CBT includes processes for Training Needs Identification (TNI), training design, delivery and evaluation. CBT includes a feedback process for ensuring training is efficient (to ensure all qualified learners achieve competence) and effective (to ensure training is relevant to the needs and conditions in the work place).

Staff Performance Assessment (SPA) – An annual or six monthly meeting between and supervisor and employee to assess work performance against agreed targets for key performance indicators. It also provides an opportunity to identify training needs and to discuss career goals. Performance analysis (PA) is a sub system used for analysing performance problems arising during SPA or at any other time. PA provides feedback to the Program on several factors impacting capacity building.

As shown in Figure 1, Program standards (reflected in Program guidelines and procedures, capacity profiles and training courses) are questioned both during the SPA and CBT processes to ensure that capacity building efforts are aligned with the Program's goal and purpose.

Figure 1: Capacity Building System



2 Performance Standards & Capacity Profiles

RUDEP performance standards are specified in a range of Program documents. Important documents include:

- URS (2002) *Final Program Design Document* Quang Ngai Rural Development Program September 2002;
- SPU/Program Office (2003) *Guidelines for Operational Procedures of the Village Savings and Credit Facility* Quang Ngai Rural Development Program Phase II June 2003;
- ONRDP (undated) *Organisation Structure for Quang Ngai Rural Development Program & Operational Regulations for Program Management Unit*;
- QNRDP (2003) *Monitoring and Evaluation Manual for DDOs* Quang Ngai Rural Development Program September 2003;
- QNRDP (2003) *Detailed Guidelines Regulating the Management and Investment of RUDEP Infrastructure Projects* Quang Ngai Rural Development Program September 2003; and
- Duty statements for RUDEP staff.

Capacity profiles have been prepared using these documents together with interviews with staff. Capacity Profiles for the following occupational groups are provided in Annex 1 to 5 as follows:

Annex 1 Farmers

Annex 2 CCG

Annex 3 DDO

Annex 4 DCG

Annex 5 PMU Generic

CPs will have several applications in RUDEP. Some of these include:

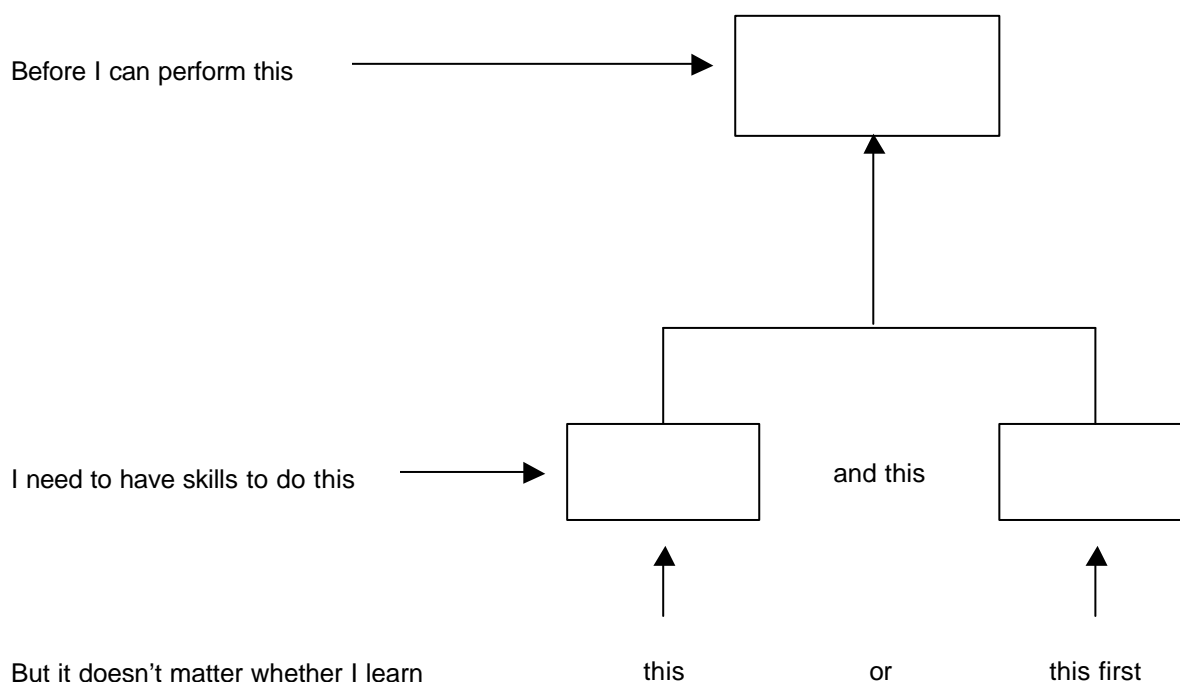
- the monitoring of capacity levels in RUDEP at any point in time;
- the identification of training needs;
- the formulation of a training policies;
- the preparation of instructional objectives and course design;
- the selection of staff;
- the preparation of scopes of work for service and training providers; and
- assessing training providers and the courses they offer.

Table 1 details the steps to follow in preparing and/updating a capacity profile.

Table 1: Procedure for Preparing a Capacity Profile

Definition	A diagram which shows the performance requirements for an group of personnel, for example a Commune Contact Group. A capacity profile also shows what subordinate skills and knowledge are required for different performance areas and how they are related.	
Steps	What to do and how to do it	Some key points
Step 1	Gather project information about the occupational group. Interview people undertaking the role.	Check for changes to or any new procedures and regulations.
Step 2	Write the overall role of the position. What do they need to do and how well do they need to do it? Use action words reflecting performance you can observe.	This could also be the overall objective of a course designed for that position.
Step 3	Write the subordinate performance, knowledge or skills necessary to perform the overall responsibility. Ask the question “what are the main skills that make up this performance?”	You can ask this in other ways. What does someone need to be able to do before being able to perform the higher-level responsibility? What are meaningful sub skills?
Step 4	Repeat step 3 until the subject is covered to a reasonable level.	2-3 levels asking the same question is usually adequate.

Figure 2: Preparing a Capacity Profile

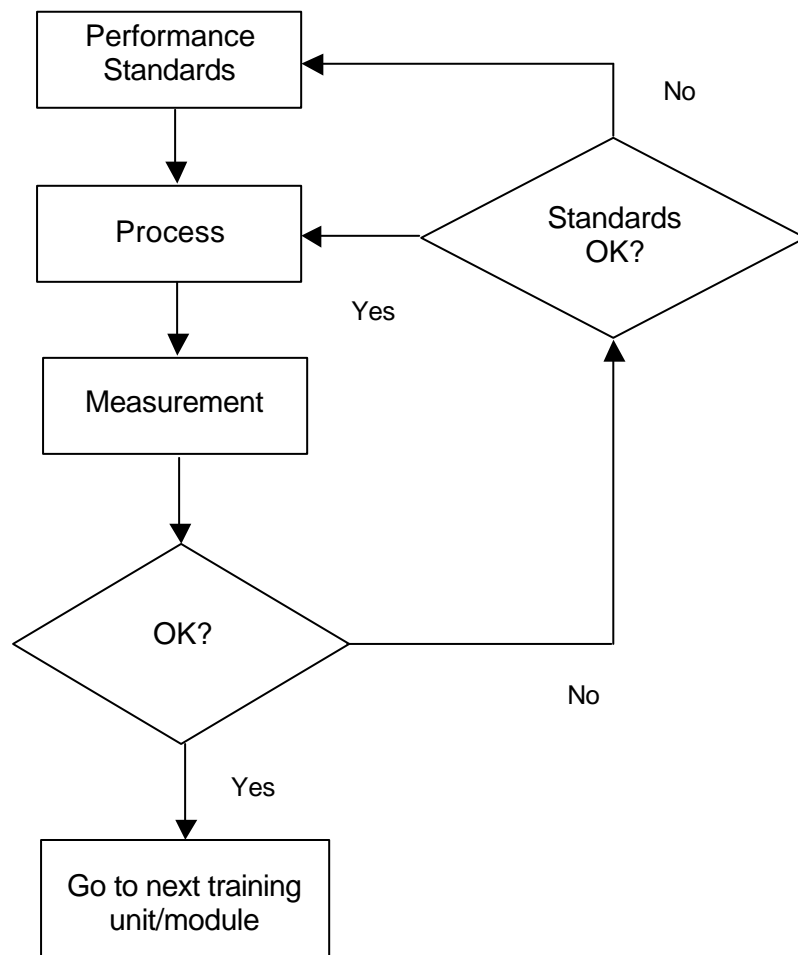


3 Competency Based Training

Competency Based Training (CBT) – A system of instruction where all qualified learners achieve a pre-defined level of competence (ie competence defined in the relevant capacity profile). Qualified learners are those who fall within the defined entry levels for particular courses. CBT includes processes for Training Needs Identification (TNI), training design, delivery and evaluation. CBT includes a feedback process for ensuring training is efficient (to ensure all qualified learners achieve competence) and effective (to ensure training is relevant to the needs and conditions in the work place).

Figure 3 below provides a simplified instructional system to demonstrate how CBT works.

Figure 3: Competency Based Training



Standards represent what learners are expected to learn and are derived from the job they are or will be doing and the competencies required. In CBT the standards are stated as clear performance objectives – what must be done, how well it must be done and under the conditions it will be done.

The **process** is the means by which learning takes place. In CBT the focus is on making learning easy by establishing the conditions for adults to learn. Adults want and need to be active in the learning process. There will be participation, and practice with plenty of feedback.

Measurement is concerned with assessing whether participants have been able to demonstrate the desired behaviour, to the standards required and under the specified conditions. In CBT tests are designed and used which match the learning objectives. If someone does not meet the requirements, additional coaching is required. In RUDEP each formal training course will require that learners apply the learning in their work situation – they will have to demonstrate that that competence can be achieved under work conditions. When this is done they will be signed off as competent.

In CBT there is a **feedback loop** which comes into action where participants continue to have difficulty and are unable to demonstrate the desired behaviours. The question asked is: Are the standards/objectives set for training valid? If on review the answer is yes then the problem lies with the **process**. If the answer is no, the objectives have to be changed. In CBT the feedback loop is put to work to improve the instructional process.

4 Managing Competency Based Training

Several procedures are involved in administering CBT:

- Identifying training needs – who needs training in what?
- Selecting external courses
- Improving and updating courses
- Designing new courses
- Preparing an Annual Training Program
- Selecting and contracting service providers to provide training
- Implementing training
- Evaluating training

4.1 Identifying Training Needs

The capacity profiles in annex's 1-5, show the required skills and knowledge for different occupational groups in RUDEP. They do not tell us who needs training in what, but can be used in helping individuals and their supervisors to do this.

The Training Needs Identification (TNI) process for RUDEP participants involves answering two questions:

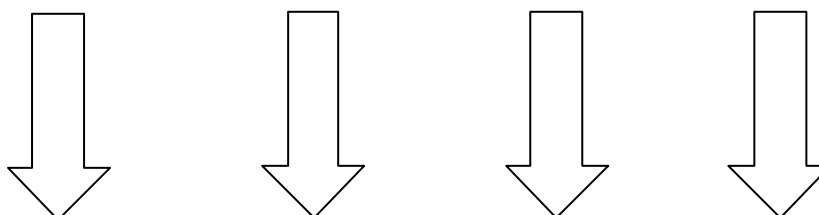
- What is an individuals/a group's/an entity's *ability* to undertake a particular task/duty or aspect of their work? Two possible answers are:
 - able; or
 - not able.
- What is an individuals/a group's/an entity's *attitude* to undertaking a particular task/duty or aspect of their work? Three possible answers are:
 - positive;
 - negative because of lack of confidence; or
 - negative for other reasons.

Answers to these questions requires close knowledge of RUDEP participants, their duties and working conditions. Questions can be asked for any element of the capacity profiles prepared for different project participants. The questions should be asked by both RUDEP staff themselves (self assessment) and by their supervisors.

The table below shows how answers to these two questions can be analysed to identify training needs. Answers to the above questions can be coded as either A, B, C or D. Responses falling in column's D or C indicate that some structured training is required. Responses falling in column B indicate that practice, on the job training and encouragement is required. Answers coded as A indicate that no training is required indicating the respondent has a positive attitude to the task and has the knowledge and skills to do it.

Figure 4: Identifying Individual Training Needs

List priority performance areas from capacity profile where training might be needed	1 _____			
	2 _____			
	3 _____			
	4 _____			
	5 _____			
<p>For each performance area ask: Am I able or not able to perform this and how do I feel about this area of work? Select A, B, C or D below, follow the arrow and write in the table below.</p>				
	A	B	C	D
Able or not able?	Able	Able	Not able	Not able
How do I feel?	Positive	Negative because of lack confidence	Positive	Negative because of other reasons



Recommend	No training	Practice and encouragement	Structured training	Structured training plus counselling
1				
2				
3				
4				
5				

This approach will be applied to all RUDEP participants: farmers and activity groups; CCGs, DDOs, DCGs and the PMU. Table 2 details the procedure.

Table 2: Procedure for Identifying Individual/Group Training Needs

Definition	Identifying individual/group training needs is the process of locating the performance gaps between what someone or a group should be doing and what they are currently doing.	
Steps	What to do and how to do it	Some key points
Step 1	Check for the relevant capacity profile to ensure it is current. If not update and verify with PMU.	CBO should do this and be the custodian of all Capacity Profiles.
Step 2	Brief RUDEP personnel and supervisors on how to use this procedure. Figure 3 (also see TNI form in Annex 6).	
Step 3	Circulate to Project staff each year in _____	CBO to do this.
Step 4	Ask the questions, code responses, make recommendation, discuss with supervisor and send the completed TNI form to CBO.	All RUDEP staff will be doing this.
Step 5	Analyse results for use in the Annual Training Plan.	CBO to analyse.

4.2 Selecting External Courses

Much of Program training will be done by external providers either through:

- A group of Program participants attending a course; or
- One or two program participants attending a course with the aim of them person becoming a trainer to train other Program staff ie training of trainers.

Whatever the strategy used, decisions will need to be made about whether available courses are suitable. This procedure will help in that process.

Table 3: Procedure for Selecting External Courses

Definition	Selecting an external course is the process of matching a Program training need to available courses and selecting the most suitable	
Steps	What to do and how to do it	Some key points
Step 1	Specify the training needs and target group and locate in the appropriate Capacity Profile. (Answer the question – Is the training need in the capacity profile, where is it and what’s directly connected to it?)	Note any sub-ordinate skills and the higher performance to which the proposed training will contribute.
Step 2	Identify possible courses.	Check Service provider register and database of courses. Ask other Program staff.
Step 3	Look for information about the target groups, objectives and content. Answer these questions – Is the target group for which the proposed course similar to the RUDEP target group? How well does the course objectives match with the training need? How well does the course content relate to the training need and the position of the training need in the Capacity Profile?	Use the checklist in Annex 7.
Step 4	If there is not a good match, and there is no alternative, ask the Service Provider if and how they could alter their course to meet RUDEP needs?	If this is agreed the course improvement checklist in Annex 10 should be used.
Step 5	Make a decision about the course and prepare a training proposal with budget.	See Training request form (Annex 8) and Training costing guidelines (Annex 9).

4.3 Improving and Updating Existing Courses

It is important that training remains relevant to the needs RUDEP. Time and resources will need to be allocated where existing courses need to be improved to make sure they are competency based. The course improvement checklist provided in Annex 10 will help in deciding what has to be done. As much as possible of this checklist should be used. The course improvement checklist:

- objectives
- course materials
- course procedures
- practice
- instructors
- participants
- performance tests

Completing this checklist will help to quantify the level of effort needed to improve such course. Here is a procedure for using this checklist.

Table 4: Procedure for Improving Existing Courses

Definition	Improving existing courses is a process of critically assessing the quality of existing courses, identifying where improvements are needed and making those improvements.	
Steps	What to do and how to do it	Some key points
Step 1	Gather all course details and records – materials, aids and evaluations.	
Step 2	Use the course improvement checklist in Annex 10 possible courses.	Check Service provider register and database of courses.
Step 3	Look for information about the target groups, objectives and content. Answer these questions – Is the target group for which the proposed course similar to the RUDEP target group? How well does the course objectives match with the training need? How well does the course content relate to the training need and the position of the training need in the Capacity Profile?	Use the checklist in Annex 7.
Step 4	If there is not a good match, and there is no alternative, ask the Service Provider if and how they could alter their course to meet RUDEP needs.	If this is agreed Course improvement checklist in Annex 10 should be used.
Step 5	Make a decision about the course and prepare a training proposal with budget.	See Training request form (Annex 8) and Training costing guidelines (Annex 9).

4.4 Designing New Courses

Where there is a need to design a new course – ie. there is a significant training need and no available course it is important to identify a team of people who can work together to develop the course. The team needs to have the following expertise and experience:

- expertise in the topic to be trained;
- experience in the application of the topic; and
- expertise in designing a course.

The *course designer* will then lead the team through the course design procedure to prepare the course. Table 5 describes this procedure.

Table 5: Procedure for Designing a New Course

Definition		
Steps	What to do and how to do it	Some key points
Step 1	Form team to work on the course.	
Step 2	Prepare objectives for the course.	Expanding the capacity profiles is a good way to assist with this.
Step 3	Prepare performance tests related to each of the objectives.	Performance tests need to match the objectives in terms of the actual performance, criteria and conditions.
Step 4	Select resources.	Limit to what is needed to achieve the objectives.
Step 5	Draft modules for each objective.	See Annex 11, Checklist for preparing instructional modules.
Step 6	Prepare course procedures.	
Step 7	Test the course and revise for future use.	Use Annex 10, Course improvement checklist.

4.5 Preparing an Annual Training Plan

The RUDEP Annual Plan includes a Training Plan covering a 12 month period. Under current requirements the 12 month period starts from 1 July each year. Under the PDD the Training Plan is located in Component 3, Capacity Building. However training activities are also covered in Components 1 and 2. The Training Plan needs to cover all Program training activities.

The first task in preparing the Training Plan is to assemble all priority training needs (who needs training in what?) and make a list. The TNI process described in 4.1 will be the primary source of training needs for the Training Plan. Other training needs will come from Staff Performance Assessment (SPA), and the activity implementation requirements.

The Annual Training Plan must be demand driven. This means that it must respond to Program field activity:

- staff performance requirements ie: to provide *what* training is needed;
- scheduling requirements ie: to provide training *when* it is needed; and
- staffing requirements ie: to provide in the most *efficient and effective way*.

The Annual Training Plan will generally include training designed and delivered by:

- PMU staff and short term advisers;
- DDOs;
- Direct partner organisations for example DARD, and the Women’s Union; and
- Other service providers (Community College, Action Aid, World Vision, Plan International).

Table 6 describes the procedure for preparing the annual training plan.

Table 6: Procedure for Preparing an Annual Training Plan

Definition	The Annual Training Plan specifies the training activities and estimated expenditure for a 12 month period, and forms part of the RUDEP Annual Plan	
Steps	What to do and how to do it	Some key points
Step 1	Assemble training needs data from TNI forms and SPAs and analyse to determine priority training needs and numbers of people involved.	Identify priority training requirements and numbers.
Step 2	Liaise with PMU and DDOs to ascertain specific content, timing and staffing constraints and how this will impact the training plan.	CBO to consider these in putting the training plan together.
Step 3	Identify what courses are required for whom and identify and assess training providers. There are several tools to assist here.	Use the course selection checklist (Annex 7), Service Provider Register (Annex 13) and Course Improvement Checklist (Annex 10).
Step 4	Determine new courses that need to be developed, who could do it, and estimate resource requirements.	
Step 5	Review past course evaluations and incorporate lessons learned into the Training Plan.	Establish and maintain a record system for training evaluations.
Step 6	Prepare the draft training plan, cost it and submit to ATL.	This needs to done by March each year.

4.6 Selecting and Contracting Service Providers

Service providers will need to be identified and contracted to deliver training, primarily training that is outside of the disciplines available in the PMU or not within the staff resource time available within PMU. A modified tendering process will be used including:

- The preparation of a training specification or scope of work;
- Inviting service providers to submit proposals for the training; and
- Evaluating proposals, selecting and contracting the successful service provider.

A register of possible training providers will be established for this purpose. The modified tendering process is provided in Table 7.

Table 7: Procedure for Selecting and Contracting Service Providers

Definition	A transparent process for selecting and contracting training providers	
Steps	What to do and how to do it	Some key points
Step 1	Prepare a training specification – including target group, capacity profile/expanded capacity profile.	See Annex 14, Training specification and proposal form.
Step 2	Identify possible service providers (using the service provider register) and invite proposals.	
Step 3	Evaluate proposals on technical and price factors.	
Step 4	Notify successful service provider in writing and arrange contract.	Use RUDEP standard contract for service providers.
Step 5	Agree on timing and schedule the training.	
Step 6	Supervise service provider training implementation.	

4.7 Implementing Competency Based Training

Administrative arrangements

Thorough and advance preparation is essential for any training event. Things to consider are:

- Course notifications that inform participants about:
 - The time and location of training;
 - Transport arrangements – consider men and women if sleepers are being used on trains;
 - How they will receive allowances;
 - Who will meet them, where and when;
 - What they need to bring with them; and
 - Any special dietary requirements.

- Course arrangements being made by a service provider or RUDEP depending on who is providing the training. This will include:
 - Training venue and equipment;
 - Transport for participants;
 - Training materials that will be available to participants;
 - Accommodation arrangements;
 - Confirmation of availability of nominated trainers;
 - Daily training programs; and
 - Participant welfare arrangements and facilities.

Training management arrangements

Confirm that arrangements and course procedures are in place that:

- Allow participants to practice performance components of the course for at least 50 percentage of the training program.

- Ensure training methods used facilitate participation, participant action and verbalisation (participants doing and talking).
- Provide individual participant progress or control sheets which monitor participant skill and knowledge acquisition for each module of instruction during the training.
- Provide participants free and flexible access to training resources (outside of specified training hours).
- Provide course maps to participants to show how they are progressing to the overall course objective.
- Minimise distractions to learning such as noise, temperature and confined space; and external interruptions (mobile phones, instructors leaving for other meetings/discussions).
- Ensure that instructors are available to help those participants who are having difficulties.
- Provide positive rewards for good performance in learning – eg. smile stamps, acknowledgement to the full class, asking good performers to help others.
- Monitor all participants progress in learning through the course through a master control sheet.

It will be important to ensure that these requirements are implemented as far as possible during any course.

Reporting arrangements

- Record and report capacity building data for the M&E system.
- Prepare course evaluation reports, showing results an analysis of participant course evaluations (Course Evaluation Form in Annex 17), participant learning (from the master control sheet for each course) and make any recommendations based on these findings.

4.8 Evaluating Training

Three levels of evaluation are useful for training:

The evaluation of reactions – what do participants feel and/or think about aspects of the training? Typically this involves participant responses about the relevance of training content, the trainers, venue and course materials. This is usually done at the end of a course (a ample evaluation form is provided in Annex 17).

The evaluation of learning – what have participants learnt on the course? In CBT each module will have a performance test which is designed to assess learning. Participants will have to demonstrate that they can do what has been trained. In CBT this will take place during the course when participants demonstrate.

The application of learning in the work situation – what have participants transferred to the work place? CBT courses will include an application of learning in the work place assessment. Each course participant will have to demonstrate that they are able to implement the training objective in the work place and to the required standard before being signed off as competent.

An example

Here is an example of how the evaluation of learning and application might work.

An objective for a PC/PA/PS training course might read something like this:

- Using a Problem Census (PC) Kit and with a hamlet community that has awareness of the Program, conduct a PC meeting involving all segments of the community. The community will be empowered by the meeting (as evidenced by their keen and active participation and commitment to action) and will result in a consensus list of at least five development priorities.

So the performance is to *conduct a PC meeting*.

The performance criteria are; *keen and active participation, commitment to action, and consensus on at least five development priorities*.

The conditions are; *using a PC Kit and with a hamlet community that has awareness of the Program*.

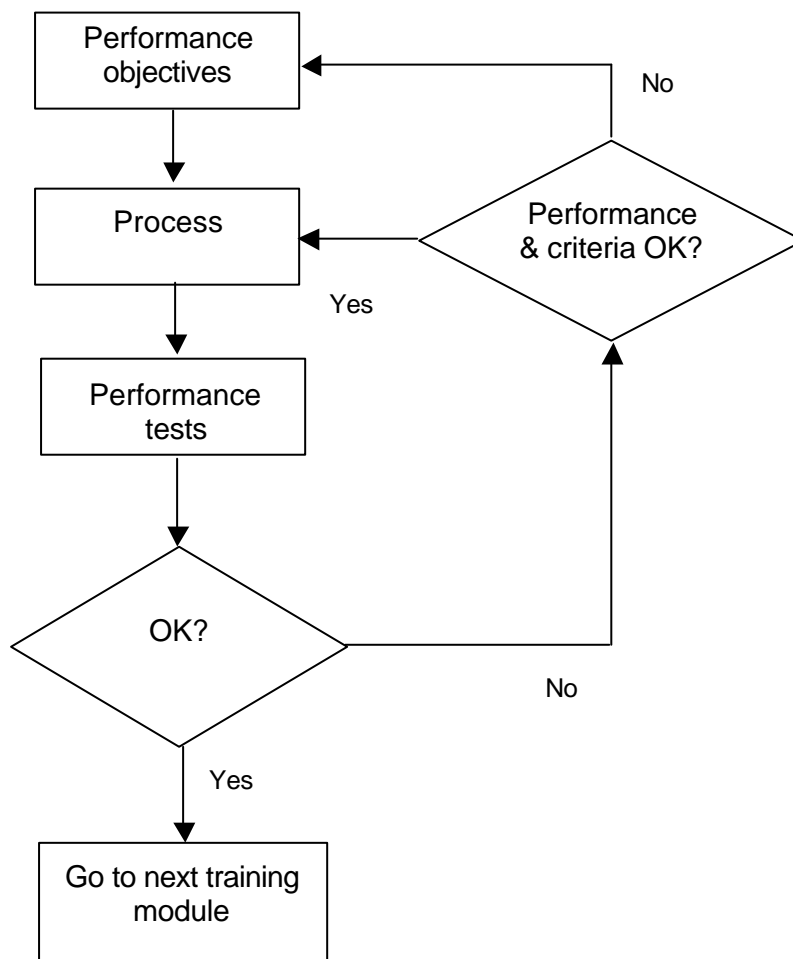
During the course a performance test will require participants to demonstrate that they are able to use a PC Kit to conduct a PC meeting where there is active participation by all those present, a commitment to action, and that five priority problems are identified.

Once back in the field they will have to demonstrate the performance of the objective in the work situation.

Effective evaluation of learning and the application of learning is dependent on how well training objectives are specified.

Figure 5 below shows how the results of the evaluation of learning and the application of learning will be fed back into the learning system and will reveal if there are issues with the types of objectives set. The latter will initiate further examination of capacity profiles and RUDEP operating procedures.

Figure 5: Evaluation of Learning



It is proposed that whenever a course is conducted that the course improvement checklist (Annex 10) be used by the lead trainer to identify course improvement opportunities. In relation to Figure 5, this will provide another source of information to improve the course process.

5 Staff Performance Assessment

It is important that both staff and management have an opportunity to periodically discuss their performance in a positive and open manner. Staff performance assessment interviews are a way to:

- Discuss what progress has been made in performance;
- Deal with problems that have arisen in the period;
- Discuss career aspirations;
- Discuss current training needs; and
- Set targets for key performance indicators.

Two forms are available to help in this process. Annex 15 is the staff performance assessment form which is partially completed by the staff member prior to the assessment interview. It is completed by the supervisor during the interview.

Annex 16 is a flow chart, primarily for supervisors and managers to use when the cause of a performance problem is not clear. It helps in analysing the causes of performance problems and provides a guide to possible solutions. Human behaviour is complex with many influences and this flow chart will help in understanding some of influencing factors.

Annex 1

Capacity Profile PMU Generic 19/09/03

Annex 2

Capacity Profile DDO

19/09/03

Annex 3

**Capacity Profile DCG
19/09/03**

Annex 3: Capacity Profile DCG 19/09/03

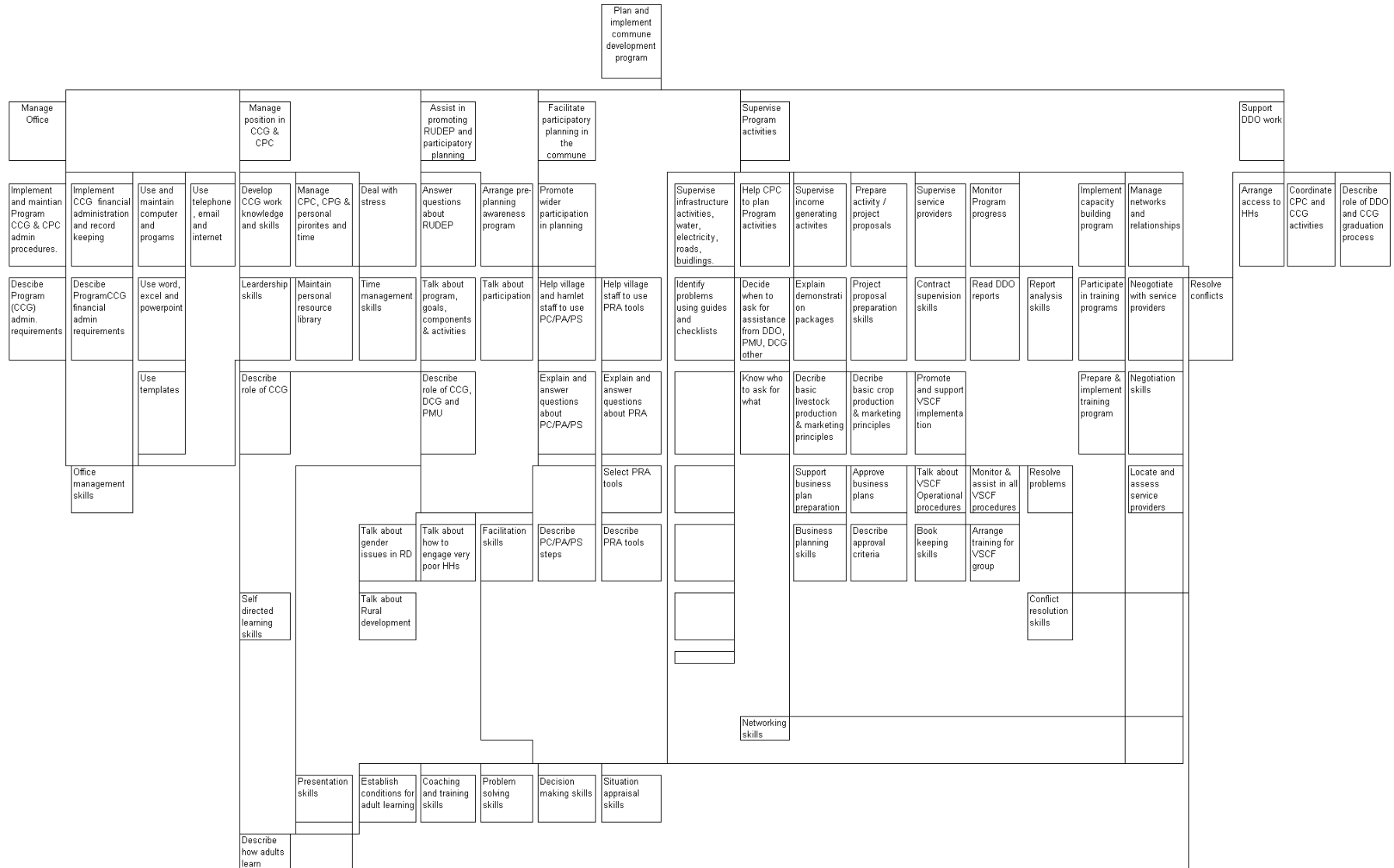
Plan and implement commune development program																				
Manage Office	Manage position in DCG & DPC				Support CCGs in program implementation	Supervise Program activities				Implement tasks delegated from PPC	Support DDO work									
Implement and maintain Program DCG & DPC admin procedures.	Implement DCG financial administration and record keeping	Use and maintain computer and programs	Use telephone, email and internet	Develop DCG work knowledge and skills	Manage DPC, DPG & personal priorities and time	Deal with stress	Assist in promoting RUDEP and participatory planning	Arrange pre-planning awareness program	Promote wider participation in planning	Help CPC to plan Program activities	Supervise income generating activities	Support CCG to prepare activity / project proposals	Supervise service providers	Monitor Program progress and apply lessons learned	Implement capacity building program	Manage networks and relationships	Help to resolve any problems	Support access to HHs via CCGs	Coordinate DPC and DCG activities	Describe role of DDO and DCG graduation process
Describe Program (DCG) admin. requirements	Describe Program DCG financial requirements	Use word, excel and powerpoint		Leadership skills	Maintain personal resource library	Time management skills	Talk about program, goals, components & activities	Talk about participation	Help village and hamlet staff to use PC/PA/PS	Help village staff to use PRA tools	Decide when to ask for assistance PMU, PPC, other	Explain demonstration packages	Project proposal preparation skills	Contract supervision skills	Read M & E and DDO reports	Report analysis skills	Participate in training programs	Neegotiate with service providers	Resolve conflicts	
		Use templates		Describe role of DCG			Describe role of CCG, DCG and PMU		Explain and answer questions about PC/PA/PS	Explain and answer questions about PRA	know how to ask for what	Describe basic livestock production & marketing principles	Describe basic crop production & marketing principles	Promote and support VSCF implementation by CCGs	Prepare & implement training program	Negotiation skills				
	Office management skills									Select PRA tools				Help Program support CCGs	Resolve problems					Locate and assess service providers
						Talk about gender issues in RD	Talk about how to engage very poor HHs	Facilitation skills	Describe PC/PA/PS steps	Describe PRA tools		Participate in awareness workshop on SVCF	Support means for communication	Talk about VSCF operational procedures	Monitor & assist in all VSCF procedures					
				Self directed learning skills		Talk about Rural development					Business planning skills	Describe approval criteria	Book keeping skills	Arrange training for VSCF group	Conflict resolution skills					
											Networking skills									
					Presentation skills	Establish conditions for adult learning	Coaching and training skills	Problem solving skills	Decision making skills	Situation appraisal skills										
				Describe how adults learn																

Annex 4

Capacity Profile CCG

19/09/03

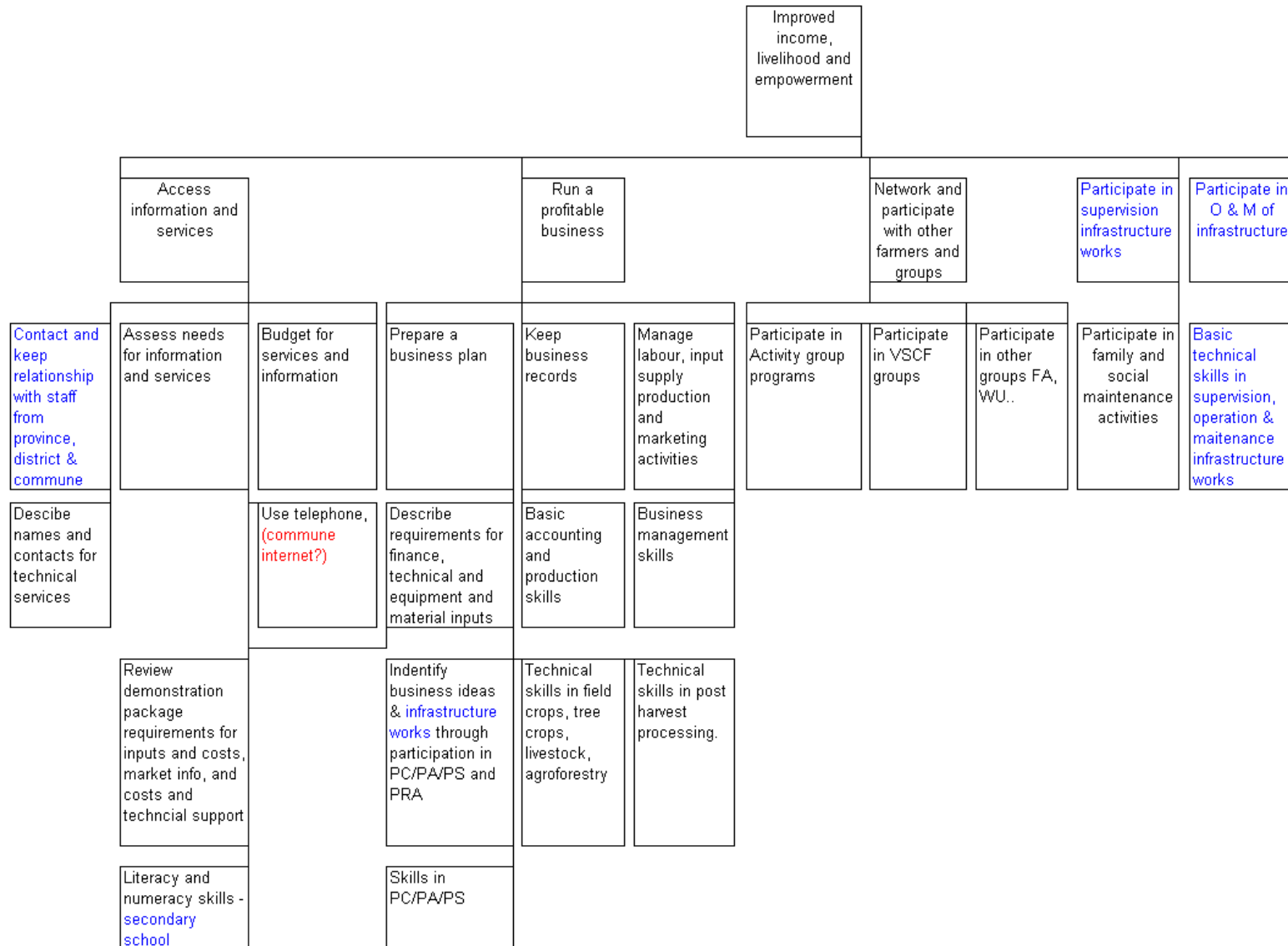
Annex 4: Capacity Profile CCG 19/09/03



Annex 5

Capacity Profile Farmers
19/09/03

Annex 5: Capacity Profile Farmers 19/09/03



Annex 6

Training Needs Identification Form

Annex 6: Training Needs Identification Form

Position: _____

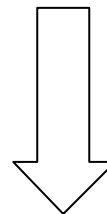
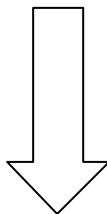
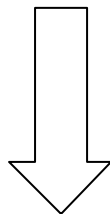
Name: _____

Capacity Profile Title and Date: _____

Date: _____

Self assessment:

List priority performance areas from capacity profile where training might be needed	_____ _____ _____ _____ _____			
For each performance area ask: Am I able or not able to perform this and how do I feel about it? Select A, B, C or D below, follow the arrow and write in the table below.				
	A	B	C	D
Able or not able?	Able	Able	Not able	Not able
How do I feel?	Positive	Negative because of lack of confidence	Positive	Negative for other reasons



Recommend	No training	Practice and encouragement	Structured training	Structured training and counselling

Signature: _____

Supervisor Signature: _____

Send to CBO

Annex 7

Course Selection Checklist

Annex 7: Course Selection Checklist

Training need: _____

Related Capacity profile: _____

Immediate higher performance from capacity profile: _____

Immediate subordinate performance from capacity profile: _____

Course being assessed: _____

Service provider: _____

Question	Yes	Partly	No
Is the target group similar to the RUDEP target group?			
Does the course objective match the training need?			
Does the course content area match those in the capacity profile?			
Do we have any references from past participants?			
Do we know the implementation options?			

Course being assessed: _____

Service provider: _____

Question	Yes	Partly	No
Is the target group similar to the RUDEP target group?			
Does the course objective match the training need?			
Does the course content area match those in the capacity profile?			
Do we have references from past participants?			
Do we know the implementation options?			

Annex 8

Training Proposal Form

Annex 8: Training Proposal Form

To be completed and submitted to Australian Team Leader at least 30 days before a training event occurs.
To be approved by Australian Team Leader at least 25 days before a training event occurs.

Name of training course:

Participants:

Capacity profile reference:

Provider: RUDEP In QNgai Other province

Course objective

Summary session/module objectives

Proposed date of training:

Time & duration of training: Half a day One day Two days More (..... days)

Venue: RUDEP Office District Office Commune Office Other province

Materials/Equipment: Hand-outs Laptop Overh. projector Other

Leader role: Details:

Support required: Yes No Details:

Budget needed:

No.	Description	Yes/No (Y/N)	Amount (VND)	Notes
1	Training fee			
2	Transportation fee			
3	Accommodation			
4	Meals			
5	Refreshment			
6	Materials			
7	Others			
8				
9				
10	Total			

Submitted by

Approved by:

Date: _____

Date: _____

Annex 9

Training Cost Guidelines

Annex 9: Training Costing Guidelines

To be used for costing a training event within the RUDEP.

These guidelines do not apply to RUDEP staff.

In this paper, a commune means a commune within Quang Ngai province.

Allowance for Trainees

1. Transport: Up to travel distance

Travel distance	Cost (VND) per transport
Trainees coming from within the location (a commune, Quang Ngai town) where the training event occurs	No
Within 20 km	No
20 - 40 km	20,000
More than 40km	35,000
Program provides transport	No
Other transport fees, if any, should be up to negotiation between the trainee and the Program.	

2. Meal cost: Up to actual duration of training

Duration of training	Cost (VND)	
	Commune	Quang Ngai town or other provinces
<i>First day</i>		
Below 4 hours	No	No
4 - 6 hours	15,000	20,000
6 - 8 hours	30,000	40,000
<i>Since second day</i>		
Below 2 hours	No	No
2 - 6 hours	15,000	20,000
6 - 8 hours	30,000	40,000

3. Accommodation: Up to place of accommodation (assuming it is also the location of the training)

Place of accommodation	Cost (VND) per night
Commune	40,000
Hanoi, HCMC, Hai Phong and Danang	VND 180,000 single and VND 110,000 single
Other provinces and cities	VND 110,00 single and VND 70,000 double
Trainees coming from within the location of training	No
Trainees come from within a distance of 20 km	No

Allowance for Trainers

1. Transport: up to travel distance

Travel distance	Cost (VND) per transport
Trainers coming from within the location (a commune, Quang Ngai town) where the training event occurs	No
Within 20 km	No
20 - 40 km	20,000
More than 40km	35,000
If the Program provides transport	No
Other transport fees, if any, should be up to negotiation between the trainer and the Program on a contractual basis.	

2. Allowance: Up to quality of trainers

Quality of trainers	Cost (VND) per hour
Professors, Associate Professors, management staff such as Ministers, Vice Ministers, Chairs or Vice Chairs of Bodies at Governmental level, Secretary, Vice Secretary, Chairs and Vice Chairs of Province and Cities at governmental level, and equivalent positions	100,000
Governmental level	80,000
Provincial level	60,000
District level	30,000
Commune level	20,000
All those costs have covered time for lecturing and time for compiling training manual.	
Other allowance, if any, should be up to negotiation between the trainer and the Program on a contractual basis.	

3. Accommodation: Up to place of accommodation (assuming it is also the location of the training)

Place of accommodation	Cost (VND) per night
Commune	40,000
Hanoi, HCMC, Hai Phong and Danang	VND 180,000 single and VND 110,000 single
Other provinces and cities	VND 110,00 single and VND 70,000 double
Trainers coming from within the location of training	No
Trainers come from within a distance of 20 km	No
Other accommodation fees, if any, should be up to negotiation between the trainer and the Program on a contractual basis.	

Allowance for Organising Matters

1. Photocopying and Stationery

VND 10,000/person per day or any part thereof, but not exceeding VND 50,000/person/training event.

2. Refreshment

VND 10,000/person per day or any part thereof in commune and VND 15,000 in Quang Ngai town or other provinces.

3. Venue Hire

Up to Program and service provider on a particular case and on a contractual basis but not exceeding VND 500,000 per day.

4. Overhead Hire

Up to Program and service provider on a particular case and on a contractual basis but not exceeding VND 300,000 per day.

5. Decoration, Slogan, Wallpapering, etc

Up to Program and service provider on a particular case and on a contractual basis but not exceeding VND 300,000 per training event.

Annex 10

Course Improvement Checklist

Annex 10: Course Improvement Checklist

A tick in the No or ? boxes represents an opportunity for improvement.

1. Objectives		Yes	No	?
1.	Does the course have objectives stated in performance terms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Are the objectives derived from the work, capacity profile or topic being taught?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Do the objectives contribute to a higher level performance in the capacity profile?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Course Materials		Yes	No	?
1.	Does each participant get a copy of the course objectives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Is the course content confined to what is needed to accomplish the objectives (i.e. includes no irrelevant material)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Are the instructional materials all keyed into the objectives so that participants know which materials are relevant to the accomplishment of each objective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Are the materials understandable to the participants? (Ask them if you can.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Are the instruction materials readily available to participants in the learning environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Course Procedures		Yes	No	?
1.	Does each participant have a copy of the course procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Do participants report that these procedures are actually followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Do participants have a course map or similar document showing how all the skills of the course relate to one another?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Do course procedures pose a minimum of obstacles between participants and the learning (i.e. do course procedures facilitate rather than hinder learning?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Are trainees free to move around the learning environment (subject to safety restrictions and group-related restrictions dictated by course objectives)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Do participants have immediate access to course components such as texts, manuals, equipment, parts, diagrams, videotapes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Is the environment free of avoidable distractions such as noise, interruptions, discomfort, harsh or low lighting, uncomfortable temperature?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	?
4. Practice			
1. Does each participant practice each key skill?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is immediate feedback available for practice exercises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Can each participant practice until the objective has been accomplished?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is at least half the instruction time devoted to practice?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Instructors			
1. Have instructors had training in:			
a. Presentation skills?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. instructional development?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Do instructors model the performance they expect of their participants; i.e. do they practice what they preach? (Ask the participants)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Do instructors behave positively toward participants rather than belittle or insult them? (Ask the participants)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Do instructors behave positively toward the subject you are teaching; i.e. model enthusiasm? (Ask the participants)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are instructors proud of participants' growing competence? Do they show it? (Ask the students.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Do instructors make themselves available to assist individual participants during the learning session?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Participants			
1. Do participants exhibit a strong desire to learn what an instructor is teaching?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are participants encouraged to practice only those skills in which they need improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are participants allowed some choice in the sequencing of their study?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are participants allowed some choice in the method of learning and in the instructional resources they use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are participants allowed to practice until they have accomplished an objective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Do participants receive individual attention when they need it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are participants encouraged to move to another unit of instruction when their competence has been demonstrated on the present one?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Does something desirable happen from the participants' point of view when they reach competence in all the objectives (e.g. favourable comments, cheers, applause, certificate, time off?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Performance Tests		Yes	No	?
1.	Are participants encouraged to demonstrate their competence (take the performance test for the unit they are studying) when they feel ready to do so?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does every test item measure a course skill (i.e. does each item match the objective it is measuring in terms of performance and conditions)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Do participants receive immediate and constructive feedback on their test performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	When a participant's performance is judged to be not yet competent, is the weakness diagnosed and additional assistance given – without belittling them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Is the participant required to demonstrate competence in each key skill before being considered competent in the skills being taught?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Annex 11

Instructional Module Checklist

Annex 11: Instructional Module Checklist

Instructional Module Contents	Yes	No
An introduction explaining the reason and importance of the topic and how it relates to the overall course		
Objectives with performance (action verb), criteria and conditions		
List of learning resources available to participants		
Learning exercises (emphasising active participation and application of knowledge and skills)		
Opportunities for participants to practice the performance and sub skills		
Performance test which matches the objective		
Application exercise for final assessment under normal working conditions		

Annex 12

Register of Service Providers

Annex 12: Register of Service Providers

Organisation	Type of Organisation	Expertise/Technical Scope	Contact Person	Address	Tel & Fax	Email and Web Site
Women's Union	Mass organisation	VCSF				
Fatherhood Front	Mass organisation					
Youth Union	Mass organisation					
Farmers Union	Mass organisation					
Veterans' Association	Mass organisation					
QN Community College	Government (PPC)	Basic science, industrial technique, technology of communication, finance, agriculture/forestry/fisheries Tailor made courses for communes and districts (management, finance, administration)				
QN Mechanical Workers School	Government (MARD)					
Dung Quat Vocational Training School	Government (DQ Zone Board)					
QN Training Centre and Employment Service	Government (DOLISA)					
QN Teachers College	Government (MOET)					
QN Secondary Technical Health School	Government (DOH/DOET)					

Organisation	Type of Organisation	Expertise/Technical Scope	Contact Person	Address	Tel & Fax	Email and Web Site
QN Training Centre for Drivers	Government (DOT)					
Job Orientation Centre for Secondary Pupils	Government (DOET)					
UNDP						
FAO						
Da Nang University	Government					
Hue University	Government					
World Vision	NGO					
Plan International	NGO					
QN IPM	DARD					

Annex 13

Service Provider Form

Annex 13: Service Provider Form

Contact Information

Agency Name	
Address	
Tel:	
Fax:	
Email:	
www:	
Contact person:	
Position:	

Objective

Type of organisation?	Government/SOE/NGO/Private (SME)/AID/Mass/Other
Purpose?	
Services/products?	
Target groups/clients?	
Geographic/technical scope?	

Resource Distribution

	Province	District	Commune	Ward	Hamlet
Offices (no)					
Staff (no)					
Uni.Grads					
Vocational Grads					
Secondary School Grads					

Relevant Capacity Building Experience and Expertise

Training	Types of Experience and Expertise Relevant to RUDEP
Design and delivery of short courses	
Ability to provide support in the field – mentoring, field level training	
Capacity to provide practical training	
Availability and quality of trainers	
Quality of training documents	
Experience with other AID projects	
Experience with doing contract work	
Technical scope of training relevant to RUDEP	
Networking	
Formal associations	
Experience in using outside expertise	
Subcontracting experience	
Other services	
IT	
SME	
Accounting	
Administration systems	
Technical demonstrations	
Business planning	
Market information/research	
Other	

Indicative Service Costs

Service	Unit	Unit Cost

Opportunities to Service RUDEP

RUDEP Need	Service Opportunity

Capacity Building Opportunities

Service Organisation Capacity Building Needs	Possible Area for RUDEP Assistance

Annex 14

Training Specification and Proposal Form

Annex 14: Training Specification and Proposal Form

Specification of RUDEP Requirements for Training Services

Course Title	
Target Group	
Capacity Profile Ref	
Objectives	
Estimate Duration	
Special Requirements	
Other	

RUDEP Proposal Requirements

The Organisation	
Details of relevant experience	
Name, qualifications and experience of proposed trainers in the topic	
The Proposed Course	
Provide details of the course objectives	
Explain format of instructional modules with objectives, learning exercises, performance tests and resource material, and how they will be delivered	
Explain how field application performance tests will be undertaken	

Basis of Price	Unit	Unit Cost	Total
Training fee			
Travel			
Course materials			
Accommodation & meals			
Refreshments			
Venue and equipment			
Other			
TOTAL			

Annex 15

Staff Performance Assessment Form

Annex 15: Staff Performance Assessment Form

Instructions to staff:

Complete Parts 1 to 4 and send to your supervisor prior to the interview

Instructions to supervisors:

During the interview discuss and complete parts of questions where indicated

Name of staff member:

Title:.....Grade.....

Name of supervisor:Period under review.....

Documents needed:

1. Current years Key Performance Indicators and Targets
2. Letter of appointment/contract with job description
3. Any previous performance assessments during the year

Part 1: Assessment of General Skills

Job Knowledge	Awareness of the requirements, methods, and systems pertaining to your position
Productivity	Including quality and quantity of work, and the handling of priorities
Communication Skills	Effective interaction with internal and external Program participants, supervisors, peers, and subordinates; clear and concise expression of ideas through email, telephone, letters, memos
Problem Solving/Decision Making	Ability to recognize and acknowledge the existence of problems, diagnose causes, exercise judgment and reach logical conclusions in a reasonable time
Work Schedule/Time Management	Recognize and adhere to schedule and cost constraints, complete work on or ahead of schedule, take proper corrective steps to expedite schedule when necessary
Cost Control	Adherence to budgets; responsible and efficient use of materials and resources
Attention to Safety	Awareness of applicable regulations and following safe work practices
Adherence to applicable OA/OC EEO/Affirmative Action Awareness?	Implement QA/QC Policies specific to your position Knowledge of the firm's Equal Employment Policy and willingness to demonstrate the application of its principles?
Adherence to applicable policies, procedures and regulations	Compliance with the policies, procedures and regulations regarding all aspects of employment
Initiative	Motivated to anticipate problems and take advantage of opportunities relating to work assignments and take appropriate action
Adaptability	Ability to adjust to varied or changed work conditions, learn new tasks, or take on new responsibilities; modify individual goals when they conflict with RUDEP goals
Team Commitment	Dedication to the organization's goals and objectives; support for coworkers and the work group; and a willingness to pitch in when needed
Attitude/Enthusiasm	Ability to eagerly approach responsibilities and encourage positive behavior in peers or subordinates

Specific Position Responsibilities

This section addresses specific responsibilities for your position.

Examples:

VPDA

Driver

Admin Officer

PC/PA/PS activity cycle

Drive safely

Record office staff movements

Does Not Meet Minimum Expectations	Meets Some Expectations	Meets Expectations	Exceeds Expectations	Outstanding
1	2	3	4	5
Performance is consistently below what is normally expected.	Performance meets some expectations and requirements.	Performance consistently meets expectations and requirements.	Performance consistently exceeds expectations and requirements.	Performance is exceptional - significantly beyond what is normally expected.

General Performance Categories	Staff Rating	Supervisor Rating	Employee Comments	Supervisor Comments
1. Job Knowledge				
2. Productivity				
3. Communication Skills				
4. Problem Solving/Decision Making				
5. WorkSchedule/Time Management				
6. Cost Control				
7. Attention to Safety				
8. Adherence to QA/QC				
9. EEO/Affirmative Action Awareness				
10. Adherence to Company Policies and Procedures				
11. Initiative				
12. Adaptability				
13. Team Commitment				
14. Attitude/Enthusiasm				
SPECIFIC POSITION RESPONSIBILITIES				
1				
2.				
3.				
4.				
5.				
6.				
Total				

Attach additional sheets as necessary

Part 2: Assessment of this Years Performance

Complete columns 1-4 in the table below

Key Performance Indicator	2003 Targets	Achievements	Comments by staff member	Comment by supervisor

Other achievements

What difficulties or obstacles did you experience this past year? (Supervisor helps here)

Supervisor's assessment

What I value about your contribution to RUDEP (Supervisor completes this)

Areas where I can help you to grow (Supervisor completes this)

Part 3: Key Performance Indicators and Targets for the Next Year

What KPI and targets have you set for 2004. Complete columns 1 and 2 below.

Key Performance Indicator	Draft 2004 Targets	Agreed 2004 targets (supervisor records here)

How do you plan to achieve them?

What support will you need?

What training and development inputs will you require in the coming year?

Agreed training and career development activities for 2004

What are your salary/package expectations?

Part 4: Other Issues

What are your longer term aspirations with RUDEP?

What do you like about working with RUDEP?

How can we do things better?

What advise do you have for your supervisor?

Note if there is anything else on your mind that you wish to share?

Summary comment by staff member

Summary comment by supervisor

Date:

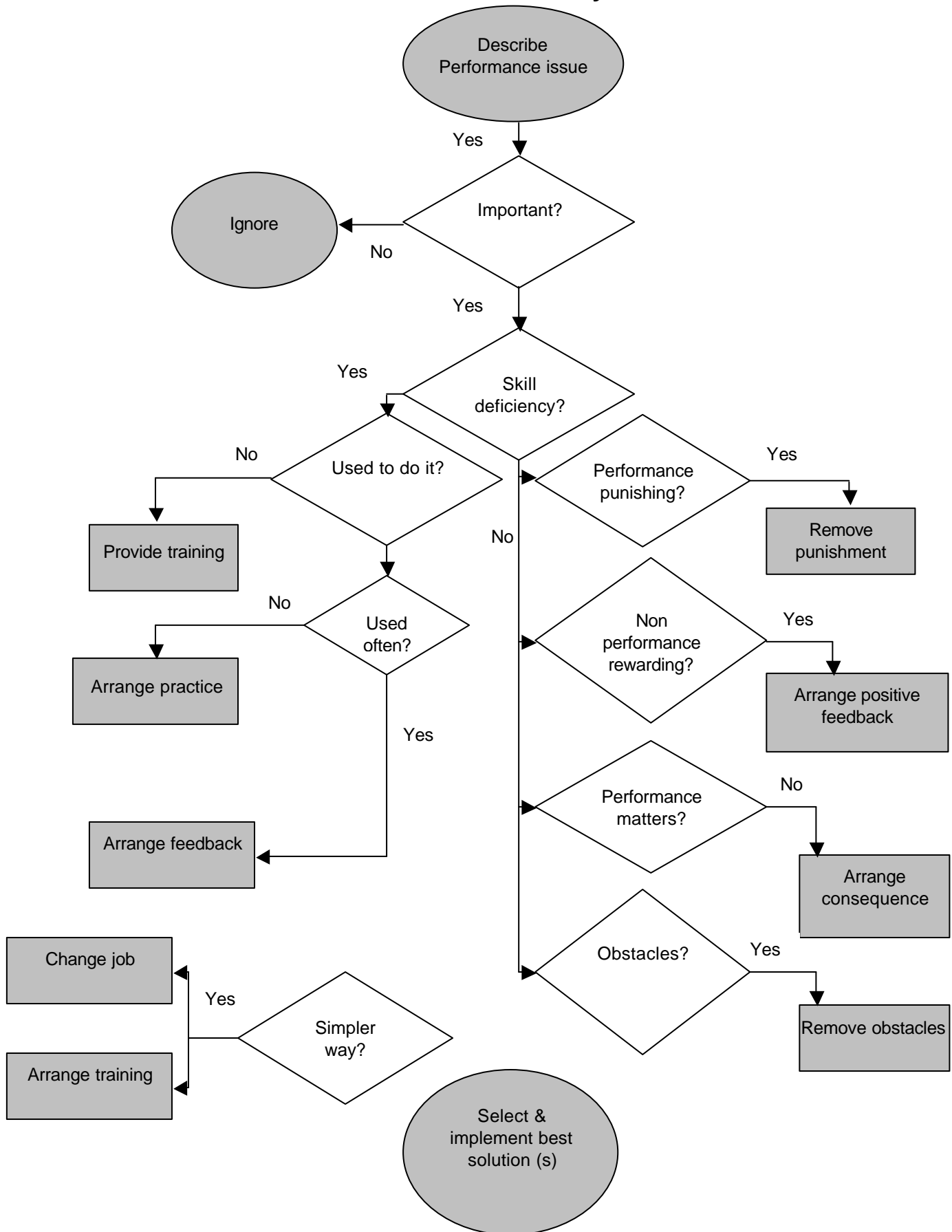
Supervisor signature

Staff member signature

Annex 16

Performance Analysis Flow Chart

Annex 16: Performance Analysis Flow Chart



Annex 17

Training Evaluation Form

Annex 17: Training Evaluation Form

Course: _____

Course dates: _____

Instructions:

Please spend a few minutes to read the statements below and circle one number 1-4 from strongly disagree to strongly agree, for each statement. This will help us to improve future courses. Thank you.

	Strongly Disagree	Disagree	Agree	Strongly Agree
The course objectives were clear to me	1	2	3	4
This course content is relevant to my work	1	2	3	4
The instructor/s helped me to learn	1	2	3	4
I had enough time to practice new skills and knowledge	1	2	3	4
The course administration arrangements were good	1	2	3	4
The training methods used helped me to learn	1	2	3	4
The course materials were easy to use	1	2	3	4

How will you use this training in your work?

Any other comments?

Limitations

URS Australia Pty Ltd (URS) has prepared this report for the use of AusAID Quang Ngai Rural Development Program in accordance with the usual care and thoroughness of the consulting profession. It is based on generally accepted practices and standards at the time it was prepared. No other warranty, expressed or implied, is made as to the professional advice included in this report. It is prepared in accordance with the scope of work and for the purpose outlined in the Program Design Document.

The methodology adopted and sources of information used by URS are outlined in this report. URS has made no independent verification of this information beyond the agreed scope of works and URS assumes no responsibility for any inaccuracies or omissions. No indications were found during our investigations that information contained in this report as provided to URS was false.

This report was prepared during September 2003 and is based on the conditions encountered and information reviewed at the time of preparation. URS disclaims responsibility for any changes that may have occurred after this time.

This report should be read in full. No responsibility is accepted for use of any part of this report in any other context or for any other purpose or by third parties. This report does not purport to give legal advice. Legal advice can only be given by qualified legal practitioners.