PDAAQ105

IAN 37138

FEBRUARY, 1981

MISSION OPERATIONS MANUAL

USAID/SENEGAL
DAKAR, SENEGAL

AGENCY FOR INTERNATIONAL DEVELOPMENT

BOOZ · ALLEN & HAMILTON Inc
Management Consultants

4330 EAST WEST HIGHWAY
BETHESDA, MARYLAND 20014
951-2200
AREA CODE 301

1

ACKNOWLEDGEMENT

The first edition of this Mission Operations Manual was prepared by a team from Booz, Allen & Hamilton Inc. in collaboration with the staff of USAID/Senegal. The Booz, Allen team members were John C. Newman, Michael M. Lent and Constance L. Tasker, who worked in Dakar for a four-week period ending November 20, 1980. The team wishes to convey its appreciation to Mr. David Shear, Director, and Mr. Melvin A. McCaw, Deputy Director, for laying the groundwork for a high degree of participation in the project throughout the USAID/Senegal staff, which made many thoughtful contributions to the Manual. The team also thanks Mr. Joseph R. Ellis, Project Officer, and Mr. Timothy Knight of SER/MP, for their roles in initiating the project and contributing to the product.

T A B L E   O F   C O N T E N T S

V)

(Table of Contents cont'd)

v

(Table of Contents cont'd)

(Table of Contents cont'd)

I N D E X O F E X H I B I T S

I. OVERVIEW OF USAID/SENEGAL

This section of the Operations Manual presents an overview of the U.S. Agency for International Development's (AID) program in Senegal. The topics covered in this section include summary descriptions of:

- The AID development program in Senegal
- Sahelian organizations with which the Mission interacts
- Organization of REDSO/WA and services it provides to the Mission
- Regional services provided to surrounding Missions by USAID/Senegal
- Internal organization of the Mission and brief mission and function statements for each organizational unit.

1. THE AID PROGRAM IN SENEGAL

AID was established to promote economic and social development and to help maintain economic and political stability in less developed countries.

Following the great Sahelian drought of 1968-1973, AID rapidly expanded its development assistance program to a level today representing approximately 10 percent of total donor activity in Senegal. The overall goal of the AID program in Senegal is to assist the Government to achieve food self-sufficiency, including storage capacity and trade by 2,000 A.D., which will improve the quality of life among the rural population.

This goal coincides with the Government of Senegal's (GOS) growing emphasis upon the rural sector, where development of the country's considerable agricultural resources is expected to provide the needed foundation to start the economy moving towards economic viability and self-sustained growth. The improved quality of rural life should contribute to increased agricultural production.

In the achievement of growth with equity in the rural areas, AID, along with other donors and the GOS, will concentrate upon strengthening the role of the rural communities in the following priority areas:

- Food production
- Nutrition and health care, including maternal child health/ family planning
- Employment and income generation
- Energy and resource conservation.

Priority geographic regions of the USAID program are:

- Casamance, Peanut-Basin (Sine Saloum) and Fleuve are of the highest near and medium-term priority for:
  - Increasing agricultural production
  - Improving the general rural quality of life
- Sylvo-Pastoral zone has a special priority for livestock production and for control of desertification

An overview of projects being implemented by the USAID is presented in Exhibit I-1, on the following pages.

2. ORGANIZATIONS WITH SUBSTANTIAL INTERACTIONS WITH THE MISSION

The AID program in Senegal is integrated with U.S. assistance to the Sahel region in cooperation with multi-donor, multi-recipient development programs. The major development organizations with which the Mission works are described in this section and include:

- CILSS
- Club du Sahel
- CADA
- The Sahel Institute
- OMVS and the USAID/Senegal OMVS Coordination Office.

EXHIBIT I-1
USAID/Senegal Project Summary
(FY'80)

I. PROJECT ACTIVITIES

1. CEREALS PRODUCTION PROJECT, PHASE I AND II—To assist SODEVA, the development agency for the Groundnut Basin, in providing extension services to farmers aimed at improving agricultural practices and increasing millet production. (FY'75-'84)

2. SENEGAL RANGE AND LIVESTOCK DEVELOPMENT—To improve living conditions and increase incomes of participating herders in two zones comprising 130,000 hectares. (FY'75-'80)

3. CASAMANCE REGIONAL DEVELOPMENT PROJECT—Largest project in AID's portfolio designed to assist GOS in acquiring expertise to design and implement regional development plans. (FY'78-'84)

4. BAKEL IRRIGATED PERIMETERS—To introduce irrigation techniques to 25 villages along the Senegal River around Bakel involving 1,800 hectares. (FY'78-82)

5. GRAIN STORAGE PROJECT—To construct 30,000 MT of warehouse space to meet cereal storage and security requirements of GOS. (FY'77-'80)

6. RURAL HEALTH—To develop system of 600 village health huts providing preventive health care to rural populations. (FY'79-'80)

7. FAMILY PLANNING—To offer contraceptive care and advice in 10 primary MCH centers and 19 secondary centers, and to offer referral and education services to 33 maternity centers. (FY'79-'82)

EXHIBIT I-1(2)
USAID/Senegal Project Summary
(FY'80)

8. SAED TRAINING PROJECT—Joint AID/FAO/GOS activity to upgrade the skills of the personnel of the Senegalese River Basin development agency, and to strengthen extension work directed toward farmers participating in irrigation schemes along the river. (FY'78-'83)

9. FUELWOOD PRODUCTION—To assist GOS in development of an easily replicable fuelwood production system to provide alternate sources of charcoal and fuelwood. (FY'79-'83)

10. YMCA/ORT YOUTH DEVELOPMENT-OPG—To build a system of vocational training services enabling Senegalese urban youth to acquire marketable skills and providing job placement follow-up. (FY'79-'81)

11. AGRICULTURAL ECONOMIC AND FARMING SYSTEMS RESEARCH AND PLANNING—Multi-donor project to assist the National Agricultural Research Institute (ISRA) in decentralizing its research activities. (FY'80-'84)

12. SODESP LIVESTOCK PRODUCTION—To modernize livestock production around four deep-bore wells in northern Senegal. (FY'79-'84)

13. NATIONAL PLAN OF NATURAL RESOURCES—To prepare resources inventory based on remote sensing in order to plan and program use of the country's physical resources in a more coherent, economic manner. (FY'81-'83)

14. SAHEL CROP PROTECTION—An eight-nation integrated pest management project to assist national crop protection services in combatting insects and pests that destroy some 20 percent of annual food grain production. (FY'77-'82)

EXHIBIT I-1(3)
USAID/Senegal Project Summary
(FY'80)

II. ACCELERATED IMPACT PROGRAM (AIP)

1. RENEWABLE ENERGY—To pilot test improved energy conservation techniques in solar fish drying, charcoal production and introduction of wood burning stoves.
2. CARITAS VIALLAGE GROUPS—To encourage subsistence farm families in the M'Bour area to vary their crop production.
3. LOWLAND FISHERIES—To introduce fish culture to the Senegal River Valley by establishing six village demonstration ponds.

III. GRANTS TO PRIVATE VOLUNTARY ORGANIZATIONS (PVOs)

1. NCNW SKILLS TRAINING RESEARCH AND FEASIBILITY STUDY—A National Council of Negro Women project to provide baseline data on women's economic roles in agriculture and livestock production in the Lower Casamance.
2. AFRICARE REFORESTATION PROJECT—To introduce woodlot production into five villages to alleviate rural fuelwood shortages.
3. AFRICARE/PEACE CORPS WOODLOT PROJECT—To establish woodlots in 40 villages.
4. CATHOLIC RELIEF SERVICE PROJECTS—Three projects to increase an agricultural cooperation program, to support 35 new fishing cooperatives and to provide potable water to 100 villages.

\\8

EXHIBIT I-1(4)
USAID/Senegal Project Summary
(FY'80)

5. RONKH TOPOGRAPHICAL AND PEDOLOGICAL STUDIES—To provide pertinent data on feasibility of the Ronkh Village.

IV. WOMEN IN DEVELOPMENT

1. KASSACK NORD WID—To provide a wide range of training and support services to the women of Kassack Nord.
2. TIVAOUANE WID--To test a cooperative approach to a series of economic and social activities that can be replicated in other villages in Senegal.

V. OMVS ACTIVITIES

1. Agronomic Research II Project—To develop a viable applied research program for irrigated and rain-fed crops at the three OMVS research centers. (FY'78-'82)
2. DATA AND INSTITUTIONAL DEVELOPMENT—To produce accurate ground control and aerial photographic contour maps as a basis for planning and executing development programs. (FY'77-'80)

(1) CILSS

CILSS (Comité Inter-Etats pour la Lutte contra la Secheress dans le Sahel) was founded in September 1973 to rally donor support for national and regional development needs in the Sahel. Eight Sahel governments are members of the Committee:

- Chad
- Mali
- Mauritania
- Niger
- Senegal
- Upper Volta
- The Gambia
- Cape Verde.

CILSS has become the major African group for coordinating and planning the use of external aid throughout the Sahel. With headquarters in Ouagadougou, Upper Volta, CILSS has provided a framework for organizing the development views of the eight Sahel countries. It has also sponsored, along with the Club du Sahel, the work of many international development planning teams and working groups.

(2) Club du Sahel

The Club du Sahel was formed in December 1975 so participating donor and Sahel countries and organizations can jointly plan and coordinate the overall development of the Sahel. The Club is open to governments and development organizations interested in collective and sustained economic development of the Sahel countries.

The major objectives of the Club are to guide processes of:

- Continuous planning and evaluation so that new information based on research findings and actual field experience can be factored into development plans
- Open and frank dialogue between and among Sahelians and donors to engender understanding and recognition of special priorities of others.

Most importantly, the Club, with its various working groups, commissions, and member countries is intended to provide a forum where Sahel and donor countries can meet to:

- Marshal resources necessary to address major development constraints
- Identify and analyze common problems
- Agree on long-term development strategies and priorities
- Coordinate action plans and individual projects.

The Club meets periodically to ratify the products of the Club/ CILSS working teams and to discuss mutual problems and solutions.

(3) CADA

CADA (Concerted Action for Development in Africa) is an informal group of the six major bilateral donors to Africa (France, Britain, Germany, Belgium, Canada, and the U.S.). Its major purpose is to address large problem areas and programs, normally involving two or more African countries and requiring an extraordinary level of resources. The agreement to form CADA was announced in December, 1979. Meetings of CADA are prepared by an informal Secretariat, composed of representatives drawn from the donor countries' embassies or OECD delegations in Paris, and supported by their regular foreign aid organizations. CADA meetings are hosted by member governments on a rotating basis.

(4) The Sahel Institute

Formed in 1978 under the aegis of the CILSS, the Sahel Institute aims to coordinate scientific and technical research and training actions undertaken by CILSS member countries. The Institute is located in Bamako, Mali, and is funded by the United Nations Development Program, France, and the U.S., among others. Specific AID-funded programs of the Institute include a regional documentation center, the technical component of the Integrated Pest Management program, and a regional demographic survey.

(5) OMVS and the USAID/Senegal OMVS Coordination Office

The OMVS (Organization pour la Mise en Valeur du Fleuve Sénégal) is a regional organization created in 1974 for the purpose of planning and administering an integrated development plan for the Senegal River Basin. Its members are Senegal, Mali, and Mauritania. The Member States have agreed that the OMVS role shall consist of handling the financing, design, construction and operation of regional facilities and coordination of development plans. Member States, however, make their own arrangements for bilateral development within each sovereign state.

The OMVS is governed by the Conference of Chiefs of State, which is the highest decision-making body. The next level is the three-member Council of Ministers, which is comprised of an individual of ministerial rank appointed by each State. The third level, the High Commission, is the executive organ of the OMVS and responsible for execution and planning of all U.S. and other donor supported regional projects and studies within the Senegal River Basin.

The purpose of the USAID/Senegal OMVS Coordination Office is to work with other donor countries and international organization to assist OMVS in meeting its long-range development objectives.

The AID/OMVS Coordination Office has responsibility for all U.S.-financed regional projects along the Senegal River Basin in Senegal, Mali and Mauritania.

The AID/OMVS Coordination Office, which reports directly to the USAID/Senegal Mission Director, is responsible for:

- Conception and development of supporting documentation for proposals for the U.S. assistance role in development of the Senegal River Basin

- Assisting the OMVS in planning the necessary structures to coordinate donor assistance, and programming and executing implementation

- Maintaining liaison with other donors and organizations and agencies of the U.S. Government relative to U.S. participation in OMVS development

- Assisting USAIDs Mali, Mauritania and Senegal in the development of projects for U.S. participation in the overall OMVS development program, and serving as the liaison between them and the OMVS.

The OMVS Coordination Office directs or monitors the activities of the various contractors who are implementing the U.S.-funded Senegal River Basin Development program. The Office serves as both a regional technical and program office for all U.S.-funded OMVS projects. This includes all programming and budgeting activities, engineering, hydrologic, socio-economic and cultural aspects of the entire U.S.-funded OMVS regional program.

3. REGIONAL SERVICES PROVIDED BY REDSO/WA

The Regional Economic Development Support Organization for West Africa (REDSO/WA) has responsibilities in three major areas:

- Assisting various field missions in Central and West Africa by providing specialized supporting services for the design, implementation, and evaluation of their program/projects

- Exercising primary program responsibility for certain regional programs and institutions

\\1

- Carrying out specific authorities and responsibilities with respect to programs in 12 countries where AID activities are not supported by a Mission.

REDSO/WA staff are organized into the following units:

- Technical support
  - Project Development Office
  - Legal Office
  - Regional Contract Office
  - Engineering Office
  - Supply Management Office
  - Controller's Office
  - Administrative Office
- Regional
  - Regional Institutional Program Management
  - Entente Fund Program
  - Regional Food for Peace (FFP) Coordinator
- Program Analysis Development Staff (technical resources in the fields of agriculture, economics, health, nutrition, anthropology and agronomy).

REDSO/WA assists USAID/Senegal in such areas as:

- Design
- Regional program backstopping
- Contracting
- FFP coordination
- Legal advice
- Management services.

4. REGIONAL SERVICES PROVIDED BY USAID/SENEGAL

USAID/Senegal serves as the control mission for several regional projects, e.g., Regional Crop Protection, and provides support services to several surrounding Missions.

(1) Regional Controller's Office

The Regional Controller's Office supports Senegal, The Gambia, Guinea-Bissau and Cape Verde. The primary services provided include:

- Budget preparation
- Financial recordkeeping
- Financial reporting
- Processing of travel advances
- Processing of Dakar vendor invoices.

(2) Food for Peace Office

The Food for Peace Office plans, manages and monitors the PL 480 program in both Senegal and the Gambia. In addition, the office facilitates the movement of food from the Port of Dakar to program sites in the neighboring countries of Guinea-Bissau, Cape Verde, Mali, Mauritania and Guinea (Conakry).

(3) Management Office

The Management Office handles arrangements for visitors to Dakar from surrounding Missions. The kinds of services provided include:

- Arranging office support in Dakar (e.g., space, supplies and typing services)
- Providing transportation in Dakar
- Arranging hotel reservations
- Providing gas coupons for offical vehicles.

(4) Project Support Unit

The Project Support Unit provides the Gambia, Guinea-Bissau, Cape Verde, Mali, Mauritania and Guinea (Conakry) with the following kinds of assistance upon request:

- Assisting in procurement planning and specification
- Assisting in preparation and processing of PIO/Cs and waivers
- Facilitating customs clearance in Dakar
- Assisting in necessary warehousing and transshipping from Dakar to project sites.

(5) AID/OMVS Coordination Office

The AID/OMVS Coordination Office is responsible for planning, execution and monitoring of all U.S. assistance projects with OMVS in Senegal, Mali and Mauritania.

5. MISSION ORGANIZATION

USAID/Senegal is organized along functional and programmatic lines, with ten offices reporting to the Office of the Director. The functional offices are:

- Regional Controller's Office
- Management Office
- Program Office
- Project Development Office
- Project Support Unit.

Generally, these offices provide their functional expertise across the full range of Mission activities and/or projects.

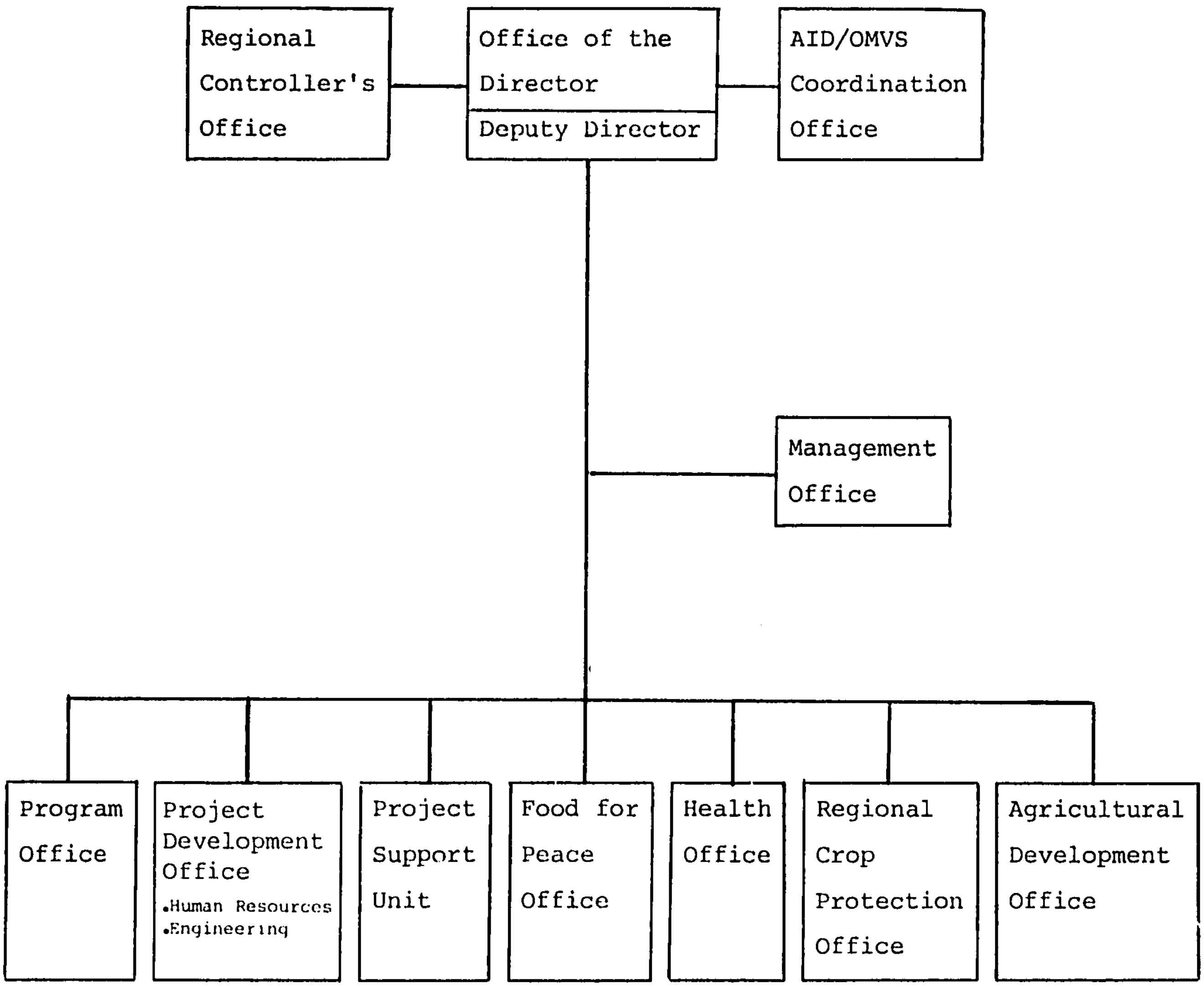
The programmatic offices are:

- AID/OMVS Coordination Office
- Food for Peace Office
- Health Office
- Regional Crop Protection Office
- Agricultural Development Office.

In general, these offices provide their specialized input to the program and project planning processes and manage the implementation of projects or components of projects that involve their areas of expertise.

The structure of the Mission is shown in Exhibit I-2. Brief mission and function statements follow.

EXHIBIT I-2
USAID/Senegal Organization



iv

OFFICE OF THE DIRECTOR

REPORTS TO: U.S. Ambassador to Senegal
AA/AFR

PRIMARY MISSION:

To plan, direct and manage all USAID bilateral activities and programs in Senegal and all activities and programs of USAID/OMVS; to supervise the provision of regional support services provided by the USAID; and, to represent AID in all interactions with the Government of Senegal and OMVS.

FUNCTIONS:

1. Directs, reviews and approves all USAID programs for Senegal and USAID/OMVS programs
2. Directs and manages all regional support services provided by the following USAID units:
   - Controller
   - Food for Peace
   - Project Development
   - Project Support
   - Crop Protection
3. Directs and manages all USAID/Senegal activities
4. Directs and approves all program and budget planning documents submitted to AID/W
5. Represents AID at the highest levels of the Government of Senegal
6. Directly supervises the USAID office directors.

PRINCIPAL STAFFING:

- Mission Director
- Deputy Director
- Secretary (2)

OFFICE OF THE REGIONAL CONTROLLER

REPORTS TO: Office of the Director

PRIMARY MISSION:

To develop, implement, operate and monitor a financial management system of accounting and fiscal control for all USAID elements, including OMVS, and other AID offices in Senegal, The Gambia, Guinea-Bissau, and Cape Verde.

FUNCTIONS:

1. Directs operating expense budgeting, accounting and cost analysis activities
2. Develops and administers a system of financing arrangements for the disbursement of AID funds
3. Processes payment of all advances and bills
4. Directs the preparation and interpretation of financial reports and statements
5. Performs financial, accounting and budget analysis services for proposed and on-going projects
6. Provides advice, assistance and recommendations to USAID management on the financial implications of proposed implementation actions
7. Provides financial management input to the programming and project planning processes of the Mission, and reviews all major Mission documents for their financial management implications.

PRINCIPAL STAFFING:

- Controller
- Financial Analyst
- Budget and Accounts Officer
- Operating Expense Accountant
- Scheduler
- Chief Accountant
- Accountant
- Chief Voucher Examiner
- Voucher Examiner (3)
- Secretary
- Administrative Clerk
- Clerk

24

AID/OMVS COORDINATION OFFICE

REPORTS TO: Mission Director

PRIMARY MISSION:

To coordinate U.S. participation in the multilateral Senegal River Basin Program (OMVS).

FUNCTIONS:

1. Prepares, recommends, and keeps current the AID policy position with respect to U.S. participation in the OMVS integrated plan
2. Prepares the OMVS portions of AID programming and budgeting documents, such as:
   - Annual Budget Submission
   - Congressional Presentation
   - Operating Year Budget
3. Provides technical leadership and input to OMVS project development documents, such as PIDs and PPs.
4. Prepares all OMVS project implementation documents.
5. Maintains liaison with OMVS-involved agencies.
6. Provides AID/OMVS project management support.

PRINCIPAL STAFFING:

- Program Coordinator
- Assistant Program Officer
- Hydraulic Engineer
- Sociologist
- Secretary
- Translator

MANAGEMENT OFFICE

REPORTS TO: Office of the Director

PRIMARY MISSION:

To provide administrative management services to all USAID/Senegal program and support units.

FUNCTIONS:

1. Personnel-Related
   - Recruits, screens, processes hiring, assignment, promotion, pay, evaluation and termination actions for all local hire contract staff
   - Facilitates personnel action processing for FSNs through coordination with the Embassy
   - Coordinates all nomination and replacement processing of U.S. direct hires
   - Provides contracting and other administration of PSC staff
2. Communications and Records
   - Processes incoming and outgoing cables and mail, including filing and reproduction
   - Provides reproduction services
   - Orders, stocks, and distributes consumable office supplies
3. Directs operations of the motor pool
4. Develops requirements for office and household facilities, capital equipment, and maintenance, and coordinates procurement and administration of same with the Embassy
5. Assists program operations through management-related comments in project reviews and contractor evaluations.

PRINCIPAL STAFFING:

- Management Officer
- Motor Pool Supervisor
- Communications and Records Supervisor
- Senior Translator
- Administrative Assistant
- Secretary (2)
- C & R Clerk
- Messenger/Clerk (3)
- Dispatcher
- Driver (11)
- Day Guardian
- Night Guardian
- Mechanic (2)
- "Graisseur de Voiture"
- Tire Repairman and Car Washer
- Receptionist (2)
- Custodian (6)

27

PROGRAM OFFICE

REPORTS TO: Office of the Director

PRIMARY MISSION:

To formulate the overall Mission strategies, development policies, and programs that guide the development of specific projects, and to coordinate the preparation of all budget and project implementation documents.

FUNCTIONS:

1. Program-Related
   - Formulates the development strategies, policy objectives and programs for the Mission, based upon analyses of political and economic conditions in Senegal
   - Prepares the documents that present the Mission's program strategies and budgets, such as:
     - Country Development Strategy Statement
     - Annual Budget Submission
     - Congressional Presentation
     - Operating Year Budget
   - Coordinates the briefing of visitors and the preparation of briefing papers and special reports
   - Maintains liaison with other principal donors with regard to their overall aid programs in Senegal
   - Maintains contacts with the Senegalese ministries and agencies responsible for economic and social development planning and for coordination of foreign aid programs in Senegal
2. Project-Related
   - Coordinates the preparation of project implementing documents, such as Grant Agreements and PIOs, and manages their review and clearance process
   - Manages the evaluations of AID projects in Senegal and clears evaluation reports

26

- Manages various projects, as assigned by the Mission Director (not anticipated as a permanent function)

3. <u>Administrative</u>
   - Maintains a Documentation Center that serves as the library of program and project technical documents
   - Provides translation services to the Mission
   - Provides a focal point of review for official documents for the signature of the Mission Director
   - Provides expertise on participant training programs and processing support for PIO/Ps.

<u>PRINCIPAL STAFFING</u>:

- Program Officer
- Deputy Program Officer
- Assistant Program Officer
- Program Economist
- Secretary (3)
- Documentation Specialist
- Translator (2)
- Women in Development Officer
- Training Specialist
- Assistant to the Documentation Specialist

PROJECT DEVELOPMENT OFFICE

REPORTS TO: Office of the Director

PRIMARY MISSION:

To manage the design or re-design of all USAID projects through supervision of the preparation and presentation of Project Identification Documents (PIDs) and Project Papers (PPs) and to assist in overall project planning; to provide general engineering and human resources expertise to appropriate projects in development and implementation; and to administer the bi-monthly project implementation review process.

FUNCTIONS:

1. Project Design and Re-design
   - Coordinates schedule of design activities
   - Budgets design costs and administers PD&R design funds
   - Obtains specialized design services from REDSO/WA, AID/W, PSCs, IQCs, etc., as required
   - Coordinates the participation of GOS or OMVS agencies in the design process
   - Ensures the participation of beneficiaries or target groups in design
   - Supervises work of outside design experts when appropriate
   - Coordinates the preparation of the PID and PP and manages their review and clearance process.
2. Technical Support
   - Provides general engineering expertise for program planning, project design and project implementation
   - Provides human resources expertise to design teams for program planning, project design and project implementation.

40

3. <u>Bi-monthly Project Implementation Reviews</u>

- Sets forth special reporting requirements as necessary
- Schedules review meetings and administers process, e.g., receives and distributes project reports
- Coordinates joint reviews with GOS, in cooperation with technical offices and the Program Office.

4. <u>Other</u>

- Manages various projects, as assigned by the Mission Director
- Coordinates close-out processing of projects with other Mission offices, GOS, and AID/W.

PRINCIPAL STAFFING:

- Capital Project Development Officer
- Project Development Officer
- General Engineering Advisor
- Human Resource Officer
- Administrative Assistant
- Secretary

PROJECT SUPPORT UNIT

REPORTS TO: Office of the Director

PRIMARY MISSION:

Responsible for assuring the effectivenes of commodity procurement, receipts arrivals, accounting and distribution, under the supply management programs of the Mission, utilizing organizational arrangements best suited to the Mission's and cooperating country's needs.

FUNCTIONS:

1. Assists in the detailed planning of commodity requirements at the PP stage of project planning
2. Assists Project Managers in the selection of commodities, the preparation of technical specifications, and the identification of sources
3. Maintains a central filing system on all project commodity procurement activities
4. Processes all commodity procurement documentation such as PIO/Cs, Purchase Orders, requisitions and requests for quotations; establishes control on a line item basis for each purchase action; and provides procurement status information to USAID divisions concerned until all commodities are received at project sites.

OTHER PROJECT SUPPORT SERVICES:

1. Responsible for establishing, updating and monitoring consignment procedures of all AID-financed commodities
2. Responsible for forwarding the appropriate documentation to the USAID division concerned so the process for obtaining customs and tax exemptions from the Ministry of Finance can begin

1,V

3. Responsible for coordinating closely with Project Managers and their counterparts in taking prompt action to secure the release and delivery of project commodities, and in obtaining "receiving reports'
4. Responsible in assisting in determining that claims for damages and/or shortages are processed promptly
5. When necessary, assists Project Managers in establishing their own in-use monitoring system of project commodities
6. Assists in the re-allocation of commodities that are either no longer needed for project completion or in excess to project
7. Facilitates customs clearance and arranges for receiving and shipping of HHE/UAB and POVs for USAID personal services contractors.

PRINCIPAL STAFFING:

- Supply Management Officer
- Supply Management Officer
- Assistant Supply Management Officer
- Procurement Administrative Assistant
- Procurement Specialist
- Freight Specialist
- Clerk Typist

FOOD FOR PEACE OFFICE

REPORTS TO: Office of the Director

MISSION:

To coordinate, participate in and evaluate activities related to the P.L. 480 programs for Senegal and The Gambia.

FUNCTIONS:

1. Serves as the USAID liaison with U.S. and foreign government officials and representatives of U.S. voluntary agencies and intergovernmental organizations on the P.L. 480 programs
2. Coordinates and participates in the planning, organizing and administration of programming functions in connection with programs authorized under P.L. 480, Titles I, II and III.
3. Exercises program monitoring responsibilities over P.L. 480 programs in Senegal and The Gambia
4. Facilitates the movement of food from the Port of Dakar to neighboring Sahelian countries
5. Prepares reports on program plans, administration, and evaluations.
6. Maintains liaison with other food donors in this region.

PRINCIPAL STAFFING:

- Regional Food for Peace Officer
- Food for Peace Monitor (Temporary)
- Administrative Assistant
- Secretary

HEALTH OFFICE

REPORTS TO: Office of the Director

MISSION:

To help formulate and implement health and population projects in cooperation with the Government of Senegal.

FUNCTIONS:

1. Prepares and interprets data on the status of health, nutrition and population conditions in Senegal
2. Serves as the USAID liaison with the GOS offices and other organizations responsible for health, nutrition and population activities
3. Provides technical leadership and inputs to health-, nutrition-, and population-related project documents, such as PIDs and PPs
4. Manages health, nutrition and population projects and/or such components of multi-disciplinary projects
5. Participates with the Program Office in the evaluation of projects
6. Provides technical inputs to AID programming and budgeting documents coordinated by the Program Office, such as the CDSS, ABS and CP.

PRINCIPAL STAFFING:

- Health Officer
- Public Health Advisor (2)
- Health Technical Coordinator

REGIONAL CROP PROTECTION OFFICE

REPORTS TO: Office of the Director

PRIMARY MISSION:

To strengthen or help establish the ability of plant protection units in seven countries to combat plant pests within national boundaries; to demonstrate, train and assist local farmers in pest management; and to provide farmers information on pest management practices to reduce pre- and post-harvest food crop losses.

FUNCTIONS:

1. Serves as the liaison for U.S. participation in the Crop Protection Program with the Governments of Senegal, Mauritania, Mali, The Gambia, Guinea-Bissau, Cape Verde, Cameroon and Chad
2. Maintains liaison with Sahelian regional agencies, such as the Club du Sahel, CILSS, Institute du Sahel, OCCLALAV and FAO
3. Prepares the Regional Crop Protection portions of the CP document for each of the seven participating countries
4. Prepares all program implementation documents and provides project management support to program operations in each participating country
5. Provides technical leadership and input to project development documents
6. Provides technical and logistical support through the bilateral agreements implemented by the Country Project Officers
7. Maintains two regional training centers and coordinates preparation of implementation documents for training in the U.S. and third countries.

PRINCIPAL STAFFING:

- Regional Project Officer
- Deputy Regional Project Officer
- Regional Training Officer
- Assistant Regional Training Officer
- Country Project Officers (5)

ι/ι

AGRICULTURAL DEVELOPMENT OFFICE

REPORTS TO: Office of the Director

PRIMARY MISSION:

To help formulate and implement agricultural development projects in cooperation with the Government of Senegal.

FUNCTIONS:

1. Prepares and interprets information on Senegal's agricultural capabilities and production
2. Serves as the USAID liaison with GOS offices and other organizations responsible for agricultural production and rural development activities
3. Provides technical leadership and inputs to agricultural and rural development project documents, such as PIDs and PPs
4. Manages agricultural and rural development projects
5. Participates with the Program Office in the evaluation of projects
6. Prepares technical inputs to AID programming and budgeting documents coordinated by the Program Office, such as the CDSS, ABS and CP.

PRINCIPAL STAFFING:

- Agricultural Development Officer
- Assistant Agricultural Development Officer
- Project Officer (Casamance)
- Project Officer (SAED-Irrigation)
- Project Officer (Livestock)
- Project Officer (Extension and Service Development)
- Project Officer (Rural Infrastructure)
- Agricultural Economist

- Technician, Agriculture/Irrigation
- Technician, Agricultural Engineering
- Technician, Agronomy
- Technician
- Technician/Coordinator
- Technician, Range Management
- Technician, Maintenance
- Secretary (3)
- Secretary/Receptionist
- Administrative Assistant (3)
- Translator

1. COUNTRY DEVELOPMENT STRATEGY STATEMENT (CDSS)

POLICY

The CDSS is the primary planning document which presents the rationale and foundation for the specific programs, projects and activities undertaken by USAID/Senegal. It is prepared annually by the Mission and includes a summary analysis of the:

- Development situation and needs in Senegal
- U.S. AID activity in Senegal
- Priorities and specific program objectives of the USAID/ Senegal development assistance program.

The CDSS is developed in consultation with the GOS on the basis of the prior year's CDSS, any new developments in Senegal or the Mission, evaluation of current and completed projects, and the analysis by Mission staff and GOS officials of the situation in Senegal.

PROCEDURES

1. AID/W initiates the CDSS process with the issuance of Senegal-specific guidance based upon an assessment of the prior year's CDSS and upon new general issues and concerns within the Agency.

2. The Mission prepares the CDSS in October through December under the guidance and management of the Program Office.

3. The Program Office schedules a series of meetings among senior Mission staff to discuss and agree upon the USAID's policy position. These meetings include the following:

- Director and Deputy Director
- Program Office
- Project Development Office
- Controller's Office
- Project Support Unit
- Office of Agricultural Development
- Health Office
- Food for Peace Office.

4. In accordance with the agreements reached within the Mission, the Program Office manages the preparation of the draft CDSS by:

   - Establishing the schedule
   - Making individual assignments of sections to appropriate Mission offices
   - Writing the draft CDSS which may involve editing the inputs from other offices

5. The draft CDSS is circulated by the Program Office to other Mission offices for review and comment, and the Program Office may schedule additional meetings to discuss proposed modifications to the draft.

6. This preliminary draft is presented to the interministerial working group convened under the auspices of the Joint Planning and Evaluation Committee established by the joint assessment. This committee, composed of the U.S. Ambassador, the GOS Ministry of Plan and other relevant Ministries, provides further analysis and perspective on the positions taken by the Mission in the first draft of the CDSS.

7. Comments and revisions suggested by the members of the Joint Planning and Evaluation Committee are obtained in writing and/or in a series of joint meetings scheduled through the Program Office.

40

8. The Program Office incorporates the contributions of the Joint Planning and Evaluation Committee into the CDSS, and circulates the revised draft to the Mission Director and other Mission offices for clearance in draft.

9. Based upon the comments of the Mission Director and other Mission offices, the Program Office prepares the final CDSS.

10. When the Mission Director approves the final CDSS, the Program Office presents a copy to the U.S. Ambassador for his/her concurrence and forwards the CDSS to AID/W, usually in January.

11. Washington conducts its CDSS reviews during February and March, and usually notifies the Mission of approval by April. Twenty-five copies of the CDSS are sent by AID/W to the Mission where the Program Office distributes at least one copy to Mission offices and arranges distribution to appropriate GOS ministries.

2. ANNUAL BUDGET SUBMISSION (ABS)

POLICY

The USAID/Senegal ABS initiates a new budget cycle and forms the basis of AID's budget submission to the Office of Management and Budget (OMB) and, later, AID's budget request to Congress (the Congressional Presentation). The ABS is composed of a series of tables and accompanying narrative on their content which specify:

- The Mission's long-range budget plan, by appropriation account, for Development Assistance, PL 480 and Operating Expense activities
- The status of the Mission's obligations, by appropriation account
- Mission projects for which new funding is requested and an analysis of the priority for funding these projects under several budgetary assumptions.

PROCEDURES

1. In May or June, AID/W issues guidance and table formats for preparation of the ABS. Upon receipt, the Program Office prepares Mission-specific guidance and establishes the internal schedule for preparation of the ABS.

2. The first draft of the ABS is prepared by Mission offices following the instructions and guidance of the Program Office.

   - The Controller prepares the Operating Expense (OE) budget
   - The Management Office prepares the personnel budget
   - Project Officers and the technical offices prepare the project narratives and other sections as assigned.

42

3. The draft ABS is edited and typed by the Program Office using the tables and forms supplied by AID/W. The Program Office circulates the draft ABS to other Mission offices and makes any changes to the draft.

4. In consultation with the Mission Director, the Program Office, the Controller and the Management Officer reach agreement on budget requests in each major funding area. Any modifications to the draft ABS are made by the Program Office which types the final ABS for Mission clearance.

5. The final ABS is cleared by the Controller before the Program Office submits it to the Mission Director for clearance.

6. Following approval by the Director, the Program Office presents a copy to the U.S. Ambassador for his/her concurrence. The Program Office makes five copies of the ABS for retention by the USAID and forwards the original to AID/W.

7. AID/W reproduces the ABS and sends at least 25 copies back to the Mission where the Program Office provides each office with at least one copy for reference.

REFERENCES

AID Handbook 2--Program Planning and Budgeting

3. CONGRESSIONAL PRESENTATION (CP)

POLICY

The USAID's CP is the budget request for Senegal and forms the basis for AID's budget request to Congress for approval and appropriation of funds. The CP is based upon the ABS and presents budget and narrative information on USAID/Senegal projects for which funding is requested.

PROCEDURES

1. The preparation of the CP follows the same procedures established for the ABS (see II.2). AID/W issues Agency-wide guidance on the format and content of field documentation requirements for the CP, and the Program Office provides the schedule and specific instruction for other Mission offices to use in preparation of the CP.

2. The first draft of the CP is based upon agreements reached by the Mission Director and senior staff on the USAID's future budget requirements.

    - The Controller's Office prepares updated expenditure records
    - Project Managers and the technical offices collaborate with the Program Office and the Controller in preparing future years' budgets
    - Project Managers prepare the draft project summaries in the format provided by the Program Office.

3. The draft CP is edited and typed by the Program Office in the format established by AID/W. The Program Office circulates the draft among the other Mission offices and makes any changes to the draft.

4(4)

4. The Controller and the Mission Director clear the CP, and the Program Officer makes any changes upon which their clearance is conditioned in the final draft.

5. When the Mission Director clears the final draft of the CP, the Program Office presents a copy to the U.S. Ambassador for his/her concurrence. The Program Office makes five copies of the CP for retention in the Mission and forwards the original to AID/W.

6. AID/W reproduces the CP and sends at least 25 copies back to the Mission where the Program Office provides each office with at least one copy for reference.

REFERENCES

AID Handbook 2--Program Planning and Budgeting

4. PROJECT IDENTIFICATION DOCUMENT (PID)

POLICY

The PID is the first document in a series leading to the approval of a specific project. The project concept described in the PID serves as the bridge between the program rationale presented in the CDSS and project analysis and implementation. It reflects the decisions made by the Government of Senegal and AID regarding the application of development strategy and country program funding levels to particular situations. The PID provides a summary and preliminary project proposal and seeks approval to further develop the project.

PROCEDURES

1. Project needs and concepts are developed in a collaborative process involving the USAID, host country institutions and other donor organizations. The Mission Director discusses and agrees upon project concepts to be developed into PIDs in consultation with program technical offices, the Program Office and the Project Development Office (PDO).

2. The annual schedule for preparation of PIDs is established at the annual design conference in coordination with REDSO/WA and AID/W. The PDO drafts the plan for the design of specific projects. The office director of the USAID technical office which has primary responsibility for the design of the PID reviews and approves the PDO's plan.

3. The PDO is responsible for planning PID preparation and providing support and coordination to the work of the design teams.

Working with the office director of the lead technical office in the design, the PDO:

- Finalizes the design schedule
- Secures design services from REDSO/WA, AID/W, PSCs, IQCs, etc., as needed, including preparation and processing PIO/Ts for specialized design services
- Coordinates the participation of GOS agencies, OMVS and other involved donor programs
- Establishes the Mission review committee.

4. The office director of the lead technical office assigns staff to the design team and supervises their work. The design team prepares the PID in the format adopted by CILSS-Club du Sahel for all projects in the region (see "Project Identification Document", January, 1980, SAHEL D (80) 33). The PID also includes any substantive AID requirements specified in Handbook 3, e.g., the IEE.

5. The lead technical office usually types the first draft of the PID which is reviewed by PDO. The PDO edits the draft for substance, clarity, consistency, and conformance to AID requirements and prepares the PID facesheet and any annexes. The revised draft is reviewed by key members of the design team for substance and clarity.

6. The draft PID is then submitted to the Mission review committee, which is established by PDO and composed of the Mission Director, PDO, the Program Office, the Controller and representatives from other USAID technical and support offices based on the project and the technical or policy issues involved. The PDO schedules the review meetings and handles reproduction and distribution of copies of the draft PID to committee members.

7. The draft PID is revised by the PDO working with the design team to incorporate changes required by the Mission review committee for approval. Arrangements are made between these offices for translation of the PID into French.

8. The USAID-cleared draft PID is presented to appropriate GOS ministries or OMVS for their information and general concurrence. The PDO works with the Program Office to establish and coordinate the GOS review of the PID.

9. Any final changes to the PID are made by the PDO working with the design team. When the PID has been approved by the Director and endorsed by host country institutions, PDO handles reproduction and submits copies to AID/W for review and approval.

10. When the Mission receives the AID/W approval message, the PDO will assure that the conditions cited will be incorporated in the PP.

11. The PDO recommends that the Director notify host country institutions of PID approval and is responsible for reproduction and distribution of the approved PID as follows:

- Mission Director
- PDO
- Program Office
- Technical office project files
- C&R (2)
- AID/W (at least one copy and a reproducible copy for distribution to AFR/DR and AFR/SWA).

REFERENCES

AID Handbook 3--Project Identification

5. PROJECT PAPER (PP)

POLICY

The PP fully develops the project concept presented in the approved PID. It provides a detailed description of the proposed project activity, defines the role and responsibilities of AID and host country institutions, and describes the analysis and conclusions upon which the project is based. The purpose of the PP is to provide sufficient detail on project activities and outcomes for AID and host government approval of the proposed project.

PROCEDURES

1. The PP is prepared in the same manner as the PID (see II.4). The Project Development Office plans PP preparation and administers the PP process while the technical office(s) constituting the design team implement the mutually agreed upon plan and develop the draft PP.

2. When PDO has completed the review of the draft PP and has obtained design team agreement on changes in the draft, the PDO arranges for typing and translation of the draft PP into French to permit host country agencies to participate in the PP review. The PDO also handles the arrangements for obtaining the letter of request from the GOS or OMVS which is required for project authorization.

3. It is the policy of the Mission to seek the active participation of host country instituions in the development and review of the PP. The Ministries of Plan and Finance are informed of Mission project design activities and of the establishment of the design team through the Program Office. In establishing the Mission

49

review committee, the PDO works with the lead technical office and the Program Office to identify the GOS Ministries whose participation should be sought. Representatives of appropriate host country agencies are invited to participate on a joint USAID/GOS review committee, which is ideally co-chaired by the Mission Director and a designated GOS official. USAID representatives on the review committee include PDO, the Program Office, the Controller and other technical and support offices based on the technical and policy issues in the PP.

4. Review committee meetings are scheduled by the PDO which handles the reproduction and distribution of copies of the draft PP to committee members, including GOS members.

5. The PP is approved on behalf of AID by the Mission Director and USAID review committee members with PDO having responsibility for making any changes upon which approval is conditioned. If the PP does not require AID/W approval, this is the final clearance for AID PP approval and project authorization.

6. If the PP does require AID/W approval, the PDO handles reproduction and distribution of copies to AID/W.

7. When final clearance for AID PP approval has been obtained, the PDO recommends that the Mission Director notify host country institutions of approval and is responsible for distribution of the approved PP as follows:

- Mission Director
- PDO
- Program Office
- Controller's Office
- Project Support Unit

- Technical office project files
- C&R (2)
- AID/W (at least one copy and a reproducible copy for distribution to AFR/DR and AFR/SWA)

REFERENCES

AID Handbook 3--Project Analysis and Proposal

6. NON-PROJECT ASSISTANCE

POLICY

Mission programming for the 1980's is placing major emphasis on non-project assistance, both PL-480 Title III and agriculture sector grants. These are being implemented to achieve the following:

- Accelerate the transfer of U.S. resources to Senegal without bringing about major changes in the number of personnel needed to administer the AID program
- Provide substantial support for carrying out Senegal's economic reform plan in concert with the IMF, World Bank, France and EEC; and
- Generate local currencies which will increase flexibility in designing and implementing AID technical assistance activities.

PROCEDURES

PL-480 Title III

1. The Title III Program comprises several Title III projects, each extending over 3 to 5 years. A preliminary determination as to the level and timing of Title III assistance is made during preparation of the CDSS. A more detailed description of the Title III Program and its relationship to total country development efforts is reflected in the ABS. The Title III Program is conceived, proposed and implemented through the joint efforts of the host country and USAID.

2. The preparation of several USAID PID-type detailed Title III project proposals, together constituting a Title III Program proposal, and interagency approval thereof in Washington, are prerequisite to an approved Title III Program.

- Project needs and concepts for development projects are developed collaboratively, as set forth in Chapter II, Section 4.1, above
- USAID and GOS technical officers develop a PID-type document as described in Chapter II, Section 4, above:
  - Draft PID-type document cleared by GOS and reviewed by USAID in-house review committee
  - Draft PID-type document translated and presented to GOS for clearance
  - Submit PID-type document to AID/W/FFP for approval in principle
- Upon receipt of AID/W approval, the several Title III Project Papers are prepared as with development project PP's per Chapter II, Section 5, above. Preparation of the individual PPs must involve the active participation of host country counterparts
- Final preparation and assembly of individual Project Papers constitutes "Part II - The Food For Development Proposal" of the Program Paper
- Part I of the Program Paper, "The Rationale for a PL-480 Title III Program in Senegal," is the responsibility of the Program Office, drawing upon economists, FFP, USDA and other specialists from the Mission and Washington.

3. Following Washington approval of the Program Proposal, instructions are issued to the Mission to negotiate a Title III Agreement. While the proposal is a multi-year program, the Agreement covers only one year and is extended by amendment.

The Food for Peace Office is responsible for:

- Contacting and scheduling negotiating sessions with GOS
- Notifying AID/W when negotiations are completed and agreement signed
- Preparing the operational reporting cable
- Assisting GOS with procurement of commodities in the U..S.

57

4. Project implementation is carried out by GOS personnel following established GOS contracting and procurement practices. Title III operates under the policy guidance of the Senegal Management Committee with the day-to-day support of a general secretariat. USAID Title III Project Managers provide guidance and advice to their GOS counterparts, but since the Title III projects are supported by GOS-owned local currencies, the degree of U.S. supervision and surveillance is less than in dollar-funded projects.

5. Program implementation is the general responsibility of FFP, working closely with the Project Managers, the Program Office, and PDO. The principal program level responsibility within USAID concerns reporting which includes preparation of the:

- Shipment and Arrival Reports
- Quarterly Compliance Reports
- Quarterly Progress, Activity and Financial Reports
- Quarterly Project Work Plan, Budget Review and Project Budget revisions
- Semi-Annual Evaluation Reports
- Annual Evaluation Reports
- Amendments to the Title III Program.

The first two require FFP liaison with the GOS; the remaining reports listed above require in-house coordination by PDO, the Program Office and FFP, as well as with the GOS.

<u>Agriculture Sector Grants</u>

1. A preliminary determination of the desired level and timing of agriculture sector grant assistance is made in the course of CDSS preparation. A concrete proposal, therefore, in some detail, is submitted as part of the ABS.

2. Upon receipt of AID/W approval via the ABS Review Cable, the Project Development Office initiates procedural discussions with the Program Economist, the Agricultural Development Office and the Project Support Unit.

3. Since procedures in the case of non-project assistance are less formal than for project assistance, the scope and sequencing of subsequent steps is highly variable.

4. Handbook 4, page 1-2, states "Sector assistance is designed, programmed and approved as project assistance in accordance with procedures described in Handbook 3." However, to the degree that the sector grant is essentially intended first to finance commodity imports for the sector and, second, to finance GOS recurrent operational costs for selected ongoing activities in the sector, the type and depth of analyses required will most closely approximate those applicable to a commodity import program.

5. Therefore, the procedures set forth in Sections 4 and 5 above will be followed to the degree appropriate to the actual nature of the sectoral program under consideration.

7. GRANT AGREEMENTS AND AMENDMENTS

POLICY

The Grant Agreement obligates the U.S. to fund and provide specified assistance for a project. The Grant Agreement contains:

- A written understanding of the commitments of USAID/Senegal, the GOS and other parties in project implementation
- Terms and conditions under which U.S. assistance is provided
- A summary description of the project, its timeframe and expected outcomes.

The Grant Agreement is the bridge between project design and implementation and must be fully executed before implementation activities may begin. When necessary, the Grant Agreement may be subsequently amended to change the substance and terms of the original agreement and to provide additional funds.

PROCEDURES

1. The technical office with responsibility for the project begins preparation of the Grant Agreement upon AID approval and authorization of the PP. The office director assigns a Project Manager who initiates discussions with the involved GOS agencies to reach agreement on various programming elements. The PDO, the Program Office and other USAID offices may join in these discussions as required by the project's technical and logistical issues.

2. When agreements have been reached with the GOS counterpart agency, the Project Manager prepares the draft Grant Agreement in the format established in Handbook 3 with technical assistance and advice from the Program Office.

3. The Project Manager forwards the draft Grant Agreement and a French translation of the draft to the Program Office which is responsible for assuring its conformance to the project description in the PP and to AID requirements.

4. The Program Office is responsible for circulating the draft Grant Agreement for clearance by the office director of the responsible technical office, the Program Office, the Controller and the Director. The draft is also circulated among appropriate GOS agencies as a basis for further discussion of its terms and agreements.

5. When the Grant Agreement is cleared in draft, the Program Office works with the Project Manager to make any changes required for USAID clearance. The Program Office usually types the final copy of the Grant Agreement and arranges reproduction and distribution.

6. Upon USAID approval of the Grant Agreement with the Mission Director's signature, the Project Manager, with assistance as required from the Program Office, negotiates the Grant Agreement with the GOS implementing agency.

7. When the USAID and GOS technical implementing offices reach agreement, the Program Office discusses the Grant Agreement with the Ministry of Plans and the Ministry of Finance.

8. The Program Office then formally submits the Grant Agreement to the Ministry of Finance for signature.

9. The Program Office handles reproduction and distribution of the executed Grant Agreement as follows:

- Mission Director
- Program Office
- Technical office project files
- Ministry of Plan
- Ministry of Finance
- Each GOS implementing agency/ministry
- C&R(2)
- AID/W (at least one copy and one reproducible copy for AFR/DR and AFR/SWA)

GRANT AMENDMENTS

1. Grant Agreements are amended by the same procedure specified above for the original agreement.

2. USAID/Senegal has established the following format for Grant Amendments:

- The amendment should usually be no longer than one page.
- The amendment should include:
  - Description of purpose of the amendment
  - Budget data for prior and present year funding, fiscal data and budget in annex.

REFERENCES

AID Handbook 3--Project Agreements and Project Modification

1. PROJECT IMPLEMENTATION LETTERS (PILs)

POLICY

The Project Implementation Letter (PIL) is the formal medium through which USAID/Senegal communicates with the GOS on matters related to project implementation. The PIL is an extension of the Grant Agreement and thus a legal document. PILs may not be used to amend the Grant Agreement but are used to convey guidance or specific information, including:

- Confirm mutual agreement on changes in Annex 1
- Notify that conditions precedent are met
- Notify of approval or denial of request for extension of terminal dates to meet conditions precedent to disbursement
- Clarify matters related to Special and General Comments
- Confirm agreements on methods of procurement agreed to signing of the Grant Agreement
- Clarify or amplify methods of disbursement
- Establish budget and authorize payment of direct costs to be paid by USAID/Senegal from grant funds.

PROCEDURES

1. PILS are prepared on USAID/Senegal letterhead stationery and are numbered sequentially for each project, beginning with the number "1".

2. Project Manager initiates the process of PIL preparation by discussing and agreeing upon its content with the GOS implementing agency. Depending upon the project and the matters under discussion, the Project Manager will request participation from

other Mission offices, such as the Controller's Office, PDO, Program Office, etc.

3. Based upon the agreements reached, the Project Manager prepares the draft PIL. The Controller's Office may prepare the draft PIL on disbursement and other financial topics.

4. The draft PIL is submitted to the Program Office which is responsible for assuring its conformance to the Grant Agreement and AID requirements. The Project Manager circulates the draft PIL to the Controller and other Mission offices depending upon the content of the PIL and expedites its clearance.

5. The Project Manager arranges the PIL's translation into French and submits the final French and English copies to the Program Office for review.

6. The Mission Director approves the PIL by signature and submits it to the GOS implementing agency and, if necessary, to the Ministries of Plan and of Finance for their approval and signature.

7. Upon signature by the GOS implementing agency, the Project Manager is responsible for reproduction and distribution of the PIL to the following:

   - Mission Director
   - Technical office project files
   - Program Office
   - Controller's Office
   - Project Support Unit (when involving procurement)

- C&R (2)
- GOS (as required)
- AID/W (at least one copy and a reproducible copy for AFR/DR and AFR/SWA)

REFERENCES: AID Handbook 3 -- Project Modification

2. PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES (PIO/T)

POLICY

The PIO/T (AID Form 1350-1) is the official AID instrument which formally initiates the contracting or grant procedure and which prescribes the services required (scope of work), the estimated costs and time period, logistical support arrangements, and other details necessary to facilitate the negotiation and execution of a responsive grant or contract. PIO/Ts are to be processed and the contract executed before the contractors are to arrive in-country.

- The PIO/T earmarks project and other funds for technical services which are obligated with an approved grant or contract.
- The PIO/T may be processed and the resulting contract negotiated and executed by USAID/Senegal, REDSO/WA or AID/W.
  - The Mission Director has authority for PIO/Ts up to a total contract value of $50,000 and up to $100,000 for Personal Service Contracts.
  - REDSO/WA has approval authority for PIO/Ts up to a total contract value of $500,000 and may request ad noc authority to exceed this limit.
  - If submitted to AID/W, the Office of Contract Management (SER/CM) processes and executes the PIO/T on behalf of USAID/Senegal.

PROCEDURES

Project-Funded PIO/T

1. The Project Manager prepares the draft PIO/T after reviewing the project's technical service requirements with the GOS implementing agency. The draft PIO/T should include the following information:

   - Detailed scope of work specifying services to be provided
   - Experience, academic background and expertise required
   - Period of performance

62

- Estimated costs of services
- Logistical support to be provided by grantee/contractor, USAID/Senegal, and other participants
- Detailed definitions of product or indicators of progress to be used in monitoring and evaluating performance of services
- Required reports.

2. The draft PIO/T is submitted to the Program Office which reviews its content and format. The PIO/T is sent back to the Project Manager who makes any changes.

3. The Project Manager manages the AID clearance process by circulating the PIO/T to his/her office director, the Controller and the Program Office for signature. The Program Office reviews all changes to the draft, and the Project Manager arranges for final typing and translation of at least the Statement of Work into French.

4. The Program Office prepares the Transmittal Letter and circulates the PIO/T to the appropriate GOS agency for signature.

5. When the signed PIO/T is returned, the Program Office presents it to the Mission Director for signature.

6. When all signatures have been obtained, the Project Manager arranges for reproduction and distribution for the approved PIO/T:

   - Mission-issued:
     - Project Manager (1)
     - Program Office (1)
     - Controller (2)
     - Mission Director (1)

67

- C&R (6)
- AFR/DR (6)
- GOS (as required)

. AID/W-issued PIO/Ts have the same internal USAID and GOS distribution as above and one reproducible copy is submitted to AFR/DR/PSS for distribution in AID/W.

PIO/Ts Funded from Other Sources

1. The originating office initiates the process by discussing and agreeing upon the technical services required with appropriate Mission offices.

2. Based on the agreements reached, the originating office is responsible for preparing the draft PIO/T on the standard AID form (content as specified in No. 2 above for project-funded PIO/Ts).

3. The originating office is responsible for distribution of the PIO/T to USAID offices for clearance:

   . Originating office
   . Program Office
   . Controller's Office

4. The originating office makes needed revisions to the PIO/T and submits the final copy to the Program Office for review and approval.

5. The Mission Director approves the PIO/T by signature.

6. The originating office is responsible for final distribution of the approved PIO/T:

- Mission-issued
  - Project Manager (1)
  - Program Office (1)
  - Controllers Office (2)
  - Mission Director (1)
  - C & R (6)
  - AFR/DR (6)
  - AFR/SWA (1)
- AID/W-issued PIO/Ts have the same internal USAID distribution as above, and one reproducible copy is submitted to AFR/DR/PSS for distribution in AID/W

REFERENCES:

- AID Handbook 3 and 15
- Project Officer's Guidebook for Management of Direct AID Contracts, Grants and Cooperative Agreements (June 1980)
- Guidance Cables 80 State 204079 and 80 State 114006

3. PROJECT IMPLEMENTATION ORDER/COMMODITIES (PIO/C)

POLICY

The PIO/C (Form AID 1370-1) is used for the procurement of project commodities when the Mission or AID/W undertakes to implement a project commodity element, or to arrange for its implementation, through a third party (host country through an authorized agent). It may include the procurement of commodity-related services or incidental services for the commodities, as long as these services do not exceed either $50,000 or 25 percent of the commodity price.

PROCEDURES

1. The Project Manager with his counterpart developes project commodity requirements using a PIO/C worksheet, Form USAID/S-PSU 008 (80) (Attachment 1). Assistance in the development of specifications for the PIO/C worksheet may be obtained from the Project Support Unit.

2. The Project Manager signs the PIO/C worksheet and forwards it to the Program Office, keeping a copy for his/her office's file.

3. The Program Office reviews the PIO/C worksheet for consistency with programmed requirements and project objectives.

4. If approved, the Program Office forwards the original to the Project Support Unit for review. If disapproved, the Program Office returns it to the originator with reasons for disapproval.

5. The Project Support Unit receives the PIO/C worksheet and assigns a Project Support Unit number in sequence for control purposes, registering the document in a master ledger.

6. The Project Support Unit selects an agent (as outlined in HB-15, Appendix D7) and converts the original worksheet into hecto-mat and prepares a face sheet with all necessary provisions.

7. The Project Support Unit forwards the completed document to the Program Office for final review and necessary USAID and GOS clearances.

8. The Program Office returns the signed PIO/C to the Project Support Unit for reproduction and distribution.

9. The Project Support Unit maintains control, administers, follows up as necessary, and issues procurement documents. It provides procurement status information to Project Managers until all commodities are received.

10. After receipt of the "Receiving Report" and after all payments are completed, the Project Support Unit closes out.

REFERENCE: AID Handbook 15, Appendix D7.

4. PROJECT IMPLEMENTATION ORDER/PARTICIPANT TRAINING (PIO/P)

POLICY

The PIO/P is the official AID form which formally initiates the process of providing training for participants in USAID/Senegal and OMVS projects by AID/W, by a third country or by a U.S. educational institution. The approved PIO/P serves as the obligating document which commits project funds.

PROCEDURES

1. The Project Manager discusses project training requirements with the Training Officer, the Human Resources officer and the GOS implementing agency as the basis for preparing program specifications for the candidate.

2. The Project Manager specifies the training program needed for the participant candidate:

   - Kind of training and its relevance to the project
   - Duration (academic or non-academic)
   - Location (U.S. or third country)
   - Degree objective
   - Position which the participant is scheduled to fill upon completion of training.

3. The Project Manager submits the above specifications to the Training Officer in the Program Office.

4. The Training Officer is responsible for preparation of the draft PIO/P on the standard AID form:

68

- Checks reference materials for course announcements to determine availability of training
- Calculates costs of training
- Prepares the PIO/P document.

5. In preparing the draft, the Training Officer is responsible for verifying the content of the PIO/P from the following sources:

   - Project Manager for specifications of the training program
   - The Human Resources Officer for concurrence on the specifications
   - Program Office for completeness and accuracy of the form
   - Controller's Office for availability of funds

6. The Training Officer makes any revisions to the draft, prepares the final PIO/P, and distributes the PIO/P for clearance to:

   - Project Manager
   - Program Office
   - GOS implementing agency
   - Controller
   - Mission Director.

7. The Training Officer reproduces copies of the approved PIO/P for distribution:

   - DS/IT (10)
   - AFR/SWA (2)
   - Controller (5)
   - Project Manager (6)
   - GOS implementing agency (5)
   - C&R (2)

8. The Training Officer handles USAID internal distribution, and the Project Manager makes distribution to the responsible GOS offices.

REFERENCES: AID Handbook 10, Participant Training Guidance Cable 80 State 138371

5. PURCHASE ORDERS

POLICY

Purchase Orders, when executed by AID and the vendor of goods or services, are a form of contract. It is Mission policy to limit use of Purchase Orders to transactions where the goods and services can be explicitly and unambiguously defined. The form is designed to execute only one payment. If more than one payment is required, another document, such as a contract, or several Purchase Orders should be prepared. For example, if the Mission is procuring personal services of an individual for three months to prepare a specified report and that individual is to be paid at the end of each month, either a contract or three purchase orders (one for each month) should be prepared.

PROCEDURES

Project-Funded Purchase Orders

1. There must be an approved implementation document before a Purchase Order can be prepared and approved. The requirement implementation document could be a Project Implementation Letter (PIL), a PIO/C, a PIO/P, or a PIO/T and its resultant contract.

2. The office requesting the goods or services either obtains the price from a catalogue or receives an estimate from the vendor. In the cases of local purchases made in Dakar the estimate is

made in the form of a proforma invoice. For large purchases it is the custom to obtain at least two proforma invoices from separate vendors in order to assure that the best price is obtained. Items under $25 may be procured without a written proforma.

3. Once the price is determined from a catalogue or by a proforma invoice, the office requesting the goods or services prepares the Purchase Order which includes:

   . Designation of the purchaser as USAID/Senegal, c/o American Embassy, Dakar
   . Name of the vendor and the address where payment will be sent
   . Brief description of the goods or services to be purchases and their cost
   . Purchase Order number (PO No.), which is obtained from the Controllers Office
   . Project fiscal data:
     - Appropriation number
     - Allotment number
     - Implementation document number
     - Project number

4. The Purchase Order is approved by the office director and submitted to the Controller's office which verifies that funds are available and sets aside these funds.

5. The vendor copy is issued by the requesting office to the vendor to place the order.

6. When the goods or services have been delivered, a receiving report must be signed to verify that all conditions were met.

   . If the requesting office is holding the Purchase Order, the requestor signs the appropriate box verifying receipt.

72

. If the Controller's Office is holding the Purchase Order, the requestor prepares a memorandum notifying the Controller's Office of receipt.

Original invoices are attached to the Purchase Order or receiving memorandum and submitted to the Controller's Office to request that payment is made.

7. The Purchase Order is processed by the Controller's Office, which verifies that costs, approves payment and forwards instructions to RAMC in Paris, France, to issue a check in payment.

OE-Funded Purchase Orders

1. The office requesting the goods or services prepares the requisition for approval by the Management Officer. The same procedures will be followed as described under project-funded Purchase Orders (III, 5, 1, above).

REFERENCE: AID Handbook 23, Overseas Support, Chapter 14.

17

6. WAIVERS

POLICY

On occasion it may be necessary for a Project Manager or Contracting Officer to deviate from AID's regulations and standard contract provision when preparing a PIO or a contract. To receive official approval to deviate from a regulation or a standard contract provision, a waiver form must be filled out and signed by the appropriate authority. The requirement for waivers should be considered in the course of project design and, wherever possible, included in the terms of the Project Paper. It is the Mission policy that waivers will be requested only when the lack of a waiver would adversely affect a project or significantly hinder the work of the Mission.

PROCEDURES

1. On occasion, waivers may be necessary for:

   - Approval of non-competitive procurements
   - Eligibility of commodities
   - Source and nationality of suppliers and contractors
   - Eligibility of suppliers' and contractors' certificates
   - Marine insurance
   - Conditions for authorizing advance and progress payments
   - Limitations on contractor salary levels
   - Other provisions of the AID procurement regulations.

2. When the Project Support Unit and the Project Manager conclude that a waiver is necessary in connection with a PIO/C, the Project Manager will prepare the waiver in accordance with the justification sent to the Project Support Unit for clearance, and then submit it to the Mission Director for approval.

3. For waivers related to PIO/Ts, PFIO/Ps, and other forms of contracts, the waiver will be prepared by the requesting office in conjunction with the Management Officer. In most instances, these waivers will require the approval of the Mission Director.

4. Detailed procedures for the preparation and processing of waivers will be developed by the Project Support Unit.

REFERENCES: AID Handbook 1, Supplement B and Handbooks 14 and 15

7. PAYMENT VOUCHERS FORM (1034)

POLICY

A payment voucher is the official AID form for reimbursement of rendered goods or services. The payment voucher is utilized in two major types of financial transactions.

- A payment voucher is used to pay for goods or services which have been received, as opposed to a Purchase Order which is prepared in advance of the receipt of goods and services.
- A payment voucher is used to transfer local funds to the GOS in accordance with the specification of a Project Implementation Letter (PIL) and to account for the expenditure of those advanced funds.

PROCEDURES

Project-Funded Payment Vouchers

1. There must be an approved implementation document authorizing the action taken and justifying the payment to be made under the payment voucher. The required implementation document includes a Project Implementation Letter (PIL) or a PIO/T and its resultant contract.

2. The office requesting payment for goods or services received prepares the payment voucher which includes:

   - Designation of the purchaser as USAID/Senegal, c/o American Embassy, Dakar
   - Name of the vendor and address to which payment will be made
   - Brief description of the goods or services purchased and their cost.

The payment voucher form or a cover memorandum should indicate the implementation document number and the project number for payment.

3. The original invoices are attached to the payment voucher which is approved by the director of the requesting office and is submitted to the Controller's Office requesting that payment be made.

4. The payment voucher is processed by the Controller's Office, which verifies the costs, approves payment and forwards instructions to RAMC in Paris, France, to issue a check in payment.

Local Currency Funds

1. A Project Implementation Letter(s) (PIL) authorizes local currency funds for GOS and specifies the supporting documentation required to account for the expenditure of funds.

2. The GOS issues a letter to the Project Manager requesting an advance of funds.

3. The Project Manager prepares a payment voucher for the advance which is approved by the office director and submitted to the Controller's office requesting that payment be made.

4. The Comptroller's Office approves payment and forwards instructions to RAMC in Paris, France, to issue a check in payment.

5. When the funds have been expended, the GOS submits supporting documentation accounting for the expenditures to the Project Manager who prepares a "no-pay" voucher. This voucher is approved

by the office director and is submitted with the supporting documentation to the Controller's Office, which adjusts the records to reflect the expenditure of the advance.

REFERENCES: AID Handbook 23 - Financial Management

12

8. OFFICIAL PROJECT FILES

POLICY

The Communications and Records (C&R) Unit is the official repository of USAID/Senegal project files. The official files are maintained as the comprehensive source of all project-related documentation required by the Auditor General's office for any project audit. In addition to the C&R official project files, Project Managers will maintain a working file on each project for use by the project team and as a reference source for the official project file. With C&R official files and Project Manager working files, other Mission staff should have no need to maintain separate records of project-related documents other than those required by support offices, i.e., Controller and PSU. The full range of C&R's recordkeeping responsibilities is described in the procedures for Central Files (see IV.1.)

PROCEDURES

1. When a Grant Agreement is executed, the responisble Project Manager notifies C&R to ensure that an active project file and project file number are established in the C&R unit.

2. The C&R supervisor will establish procedures to ensure that a copy of all project-related documents is maintained in the official project file. The kinds of documents to be included in the file are:

   - The design documents - PID and PP
   - Grant Agreement and Modifications
   - Project Implementation Letters
   - Implementing and obligating documents, i.e.,

- PIO/T
- PIO/C
- PIO/P
- Waivers
- Vouchers
- Purchase Orders

. Related cables and correspondence
. Bi-monthly project reviews
. Evaluation reports
. Contractor reports.

3. The Project Manager will assist C&R in maintaining comprehensive official files by insuring that the distribution list on all final copies of project-related documents clearly indicates at least two copies to C&R, one for the official project file and one for a subject file.

4. Access to official project files is controlled by C&R following standard procedures to prevent the loss of project-related documents (see V, 5(2)).

5. During project close-out, the Project Manager reviews the working files and the official project files and assists the C&R supervisor in establishing a complete record of the project.

6. Official project files are maintained for the active duration of the project, and storage of inactive project files follows AID guidance.

REFERENCES: AID Handbook 21, Part III, Communications

60

9. BI-MONTHLY PROJECT REVIEWS

POLICY

It is Mission policy to review all ongoing USAID/OMVS projects in a standardized process every 60 days. The purposes of the project reviews are to systematically apprise Mission management of the progress of project implementation and to schedule resources and determine actions to resolve implementation problems. In each review cycle, several projects are selected for joint review with GOS representations.

PROCEDURES

1. The PDO prepares a memorandum specifying the review schedule which is coordinated with the Office of the Director.

2. Project Managers are responsible for preparing the Project Report in the standard format provided in the PDO memorandum of 3/20/80 and outlined below:

   I. Basic Data:
   Project Authorization Date:
   Project Agreement Date:
   Dates Conditions Precedent Met:
   Project Assistance Completion Date:
   Cooperating Agencies:
   Life of Project Funding:
   Obligations to Date:
   Disbursement to Date:

   II. Project Purpose: (brief one or two line statement)

   III. Major Events During Reporting Period:

   IV. Problems or Delays:

   V. Remedial Actions:

   VI. Major Actions Planned next Reporting Period:

   VII. Project Tracking Chart:

3. Project Managers are responsible for scheduling the joint reviews of projects with GOS and coordinating the joint review schedule with PDO and the Office of the Director. PDO establishes the schedule for internal reviews and informs USAID offices of the schedule for all reviews.

4. Project Managers submit ten copies of the Project Report to PDO by the date specified in the schedule memorandum. In joint reviews, the Project Manager also submits a French copy of the Project Report to PDO at least two working days before the joint review to permit distribution to GOS offices.

5. PDO is responsible for distributing copies of the Project Report to USAID offices and GOS offices at least one working day before the review. Distribution is made to:

   - Office of the Director (2)
   - PDO
   - Program Office
   - Controller's Office
   - PSU
   - GOS offices as appropriate

6. The reviews are chaired by the Director and are attended by the Project Manager and his/her office director, PDO, the Program Office, PSU and the Controller's Office. PDO will identify reviews with issues warranting attendance by other USAID offices and staff based upon the content of the Project Reports and notify those offices and staff that their attendance is requested.

7. Following the review, the Project Manager is responsible for preparing the final Project Report incorporating comments and decisions from the review meeting and submits six copies of the final Project Report to PDO within five working days following the review.

8. PDO is responsible for distributing copies of the final Project Report to USAID, GOS and AID/W offices. Distribution is made to:

- Mission Director (2)
- PDO
- Technical office project files
- Program Office
- Project Support Unit
- C&R (2)
- GOS (as required)
- AID/W (at least one copy and one reproducible copy for AFR/DR and AFR/SWA)

10. PROJECT EVALUATIONS

POLICY

Project evaluations are conducted primarily to determine the impact a project has made or is making and its potential for replication. The purpose of evaluation is to judge if the project design is still appropriate and to assess the effectiveness of implementation activities in order to make needed changes to enhance the performance of a project and its results.

It is Mission policy to undertake evaluations in coordination with the working group of the Joint Evaluation and Planning Committee composed of the GOS Ministry of Plan, representatives of other GOS agencies and USAID staff. The results of these evaluations are presented to the Management Committee of the Joint Evaluation and Planning Committee for use in their annual joint review of USAID projects.

PROCEDURES

1. Regular evaluations are scheduled by the Program Office at appropriate stages of implementation as specified in the Evaluation Plan of the Project Paper (PP) or as determined by the Project Office in consultation with the Program Office. Special evaluations are scheduled when unexpected problems arise as identified in the bi-monthly project review process.

2. The Program Office drafts the evaluation plan which is approved by the office director responsible for the project. The Project Manager is usually designated by the office director to lead the evaluation team.

3. The Program Office supports and coordinates the work of the evaluation team by:

- Developing the scope of work of the evaluation
- Obtaining specialized technical evaluation services from REDSO/WA, AID/W, PSCs, etc., as required
- Coordinating the participation of the working group of the Joint Evaluation and Planning Committee
- Establishing the evaluation review committee
- Ensuring the participation of the project beneficiaries in the evaluation.

4. The Project Manager and the evaluation team conduct the evaluation and prepare the draft Project Evaluation Summary (PES) following guidelines presented in AID Handbook 3, Chapter 12, with assistance as needed from the Evaluation Officer in the Program Office.

5. The technical office types the draft PES and submits it to the Program Office which reviews and edits the draft for technical quality, clarity and conformance to AID evaluation requirements. The draft is returned to the Project Manager who is responsible for making any changes directed by the Program Office.

6. Evaluation review committee meetings are scheduled by the Program Office which handles the reproduction and distribution of the draft evaluation report to all committee members, including GOS members. The Project Design Office and the responsible technical office will provide representation to the review committee.

7. The Program Office makes any changes to the evaluation report upon which USAID clearance is conditioned, arranges its translation into French and presents a copy to the Joint Evaluation and Planning Committee.

8. Final distribution of the evaluation report cleared by the USAID with the concurrence of the Joint Evaluation and Planning Committee is handled by the Program Office:

- Mission Director
- Program office
- Technical office project, files
- C&R(2)
- Documentation Center
- GOS and OMVS agencies (as required)
- AID/W (at least three copies for AFR/DR, AFR/SWA, and PPC/E)

9. The Program Office then prepares any correspondence between the Mission Director and the GOS agencies describing the results of the evaluation and any agreements on future actions to be undertaken which were identified by the evaluation process.

REFERENCES: AID Handbook 3, AID Evaluation Handbook

11. PROJECT REDESIGN

POLICY

The purpose of project redesign is to modify substantially the original project design. A redesign is undertaken when the project evaluation indicates that major changes are necessary or when recommended by the Project Manager with the concurrence of the Project Development Office (PDO). A conclusion that a major change in project strategy is needed may arise from several circumstances:

- Clear evidence that the original design was faulty
- Changes in the conditions affecting the project and the original implementation plan
- Revisions in the assumptions underlying the project design.

Minor project changes are handled by Project Implementation Letters (PILs).

PROCEDURES

1. The issues to be addressed in the project redesign are developed in a collaborative process led by PDO and the Project Manager and involving other Mission offices with responsibilities related to the project as well as host country institutions participating in the project.

2. Project redesign is conducted by the same procedures established for preparation of the original design in the Project Paper (PP) (see II. 5.).

12. PROJECT CLOSE-OUT

POLICY

The purposes of the project close-out process are to determine whether the project has met its goals and will continue after AID participation, has ended, and to conduct the administrative processing to officially close project records. Project close-out is conducted when:

- The Project Assistance Completion Date (PACD), or the end of its extension, has been reached.
- USAID/Senegal has fully executed its responsibilities established in the Grant Agreement.
- A project evaluation concludes that it is no longer desirable to continue project implementation.

PROCEDURES

1. The Project Manager analyzes the status of the project and recommends to the Project Development Office (PDO) that the project be closed.

2. The PDO is responsible for project close-out with assistance from the Project Manager. PDO prepares the Project Completion Report and the Grant Close-Out Report. The Project Manager usually prepares any Contractor Evaluation Reports. The Controller's Office is requested to review and submit a project financial status report to PDO.

3. Project close-out documents are cleared by PDO, the Project Manager, the Program office, and the Controllers office. PDO circulates the documents, follows-up on any delays in the reviewing offices and recommends project close-out to the Mission Director when all the documents have been cleared.

4. The PDO prepares any correspondence between the Mission Director and host country institutions needed to facilitate project close-out. All such correspondence is translated into French and reviewed by the Program Office prior to submission for the Mission Director's signature.

5. The Program Office is responsible for notifying the Ministries of Plan and of Finance of project close-out.

6. The PDO handles final distribution of project close-out reports:

   - Mission Director
   - PDO
   - Technical office project files
   - Controller's office
   - GOS (as required)
   - AID/W (one copy & one reproducible copy to AFR/DR and AFR/SWA and copies of the Contractor Evaluation Report to SER/CM).

REFERENCES: AID Handbook 3, AID Evaluation Handbook, Project Officer's Guidebook for Management of Direct AID Contracts, Grants and Cooperative Agreements (June 1980)

13. REVIEW AND CLEARANCES OF PROGRAM AND PROJECT DOCUMENTS

POLICY

For each major program and project document, the previous sections have described review and clearance responsibilities. In order to minimize the time required to complete the review and clearance process and to assure the satisfactory resolution of any issues that arise, the procedures outlined below will be followed unless special circumstances intervene.

PROCEDURES

1. When the draft document is ready for final review, the responsible office will contact each of the individuals who must review the document and arrange a time, following their reviews, when all reviewers can meet to discuss their comments and resolve any issues that arise.

2. The responsible office will then distribute a copy of the draft document to each reviewer, indicating the agreed upon date, time, and location for the meeting to discuss the draft.

3. It is the responsibility of each reviewer to be fully prepared to discuss the document at the arranged meeting. At the meeting, if there are issues that cannot be resolved, it is the responsibility of the originating office to raise the issues for the Mission management consideration.

4. Following the meeting and the resolution of all issues, the responsible office will prepare a final draft of the document, incorporating the agreed upon changes, and circulate it to the parties for final

sign-off and approval. The standard yellow routing slip will be used for this purpose. When all reviewers have initialed their clearance, the document will be delivered, with the concurrence routing slip, to the Mission Director for execution.

5. Internal documents will show clearance directly on the original document. External documents will show clearances on the copy.

λ\

14. DISTRIBUTION OF PROGRAM AND IMPLEMENTATION DOCUMENTS

POLICY

It is the policy of this Mission to limit distribution of final copies of program and implementation documents to those offices which have a clear need for them. Reference copies of all program and implementation documents are maintained in the C&R central and office project files for use by Mission staff.

PROCEDURES

1. When a document has been cleared by all reviewing offices and executed by the Mission Director, the responsible office will handle reproduction of the required number of copies and then distribute copies to the appropriate offices.

2. General guidelines for the distribution of final copies of program and implementation documents are included in the procedures for each process presented in Chapters II and III of this Operations Manual.

ql

1. PERSONNEL MANAGEMENT

(1) U.S. Direct Hire Staff Administration

POLICY

The policies governing the administration of AID U.S. direct hire staff, including the responsibilities of supervisors, the Mission Director, and the Management Officer, are clearly articulated in AID Handbook 24, Chapter 3. There are, however, several Mission-specific procedures.

PROCEDURES

Filling a New Position

1. If the Mission Director determines that an unfilled position or a newly authorized position is to be filled and, that the position is within the mode ceiling established by the Embassy, the appropriate office director will be asked to prepare a job description and a memorandum justifying the need for the position and to forward this information to the Management Officer, who will prepare a SPAR.

2. Following review and approval of this documentation by the Management Officer and the Mission Director, the Director will notify AFR/EMS and PM in AID/W of the requirement by transmitting the SPAR with a written justification.

3. Information on candidates forwarded by AFR/EMS to the Mission will be reviewed by the Director and the appropriate office director, and a selection will be made.

4. The Management Officer is responsible for all arrival planning and arrangement, including:

- Airport reception
- Housing
- Temporary hotel arrangements (if necessary)
- Office space
- Furniture
- Guard service
- Appointment of a Welcoming Committee
- New staff check-in procedure
- Establishment of a personnel file.

The Community Liaison Officer (CLO) at the Embassy works closely with the Management Officer in the above planning.

5. The office director is responsible for:

- Preparing briefing and orientation materials
- Introducing the new staff member to USAID staff and to appropriate GOS, PVO, and other U.S. agency personnel.

Filling a Vacated Position

1. At least six months before an individual's tour is completed, he/she must fill out and submit to the Management Officer a COAR, indicating a preferred next assignment. The Management Officer will process the COAR through the Mission and forward it to AID/W. This document alerts AID/W to any requirement for a replacement, and the recruitment process is initiated.

2. Following the review and approval of the replacement request by AID/W, the procedures described under "Filling a New Position" (above) are followed.

Leave Planning and Authorization

1. Each staff member should plan leave as far in advance as possible and seek his/her supervisor's written approval, in order to avoid last minute disappointments.

2. An approved leave notification indicating type of leave and start and end dates should be sent to the Controller and the Management Officer.

Home Leave

1. To request home leave, the staff member should submit a request in writing to the Management Officer through his or her supervisor.

2. When the request is approved, the Management Officer submits a formal request for home leave approval to AID/W.

3. Upon receipt of a formal home leave approval from AID/W, the requesting staff member must submit a travel request form to the Management Officer (see IV, 4, (2)).

4. The travel request form will not be approved until the requesting staff member has done the following:

   - Completing PERs that may come due during the leave period (if in a supervisory position)
   - Requesting the completion of his/her own PER if it is to become due during the leave
   - Arranging for the coverage of all of work responsibilities
   - Arranging for access of a Mission staff member to his/her residence.

5. If there is any possibility that the requesting staff member's assignment may change while on home leave and he/she would be unable to return to this post, the staff member should prepare contingency plans including:

- Loose packaging of personal belongings
- Contingent arrangements for the sale or shipment of a personal vehicle.

Payment of Expenses

1. All reasonable continuing maintenance expense items such as house rents, utilities, repair work, etc., are paid by the Mission. Vendors submit their invoices directly to the Embassy for approval, after which they are sent to the Mission Controller.

2. Direct hire staff are responsible for their residential telephone expenses and are expected to handle these bills themselves.

3. The following items will be reimbursed to the direct hire upon submission of the appropriate forms (obtainable from the Management Officer) to the Controller:

- Travel expenses (see IV, 4, (2))
- Educational allowances (for authorized dependents).

Performance Evaluation Reports

1. Procedures and instructions for staff performance evaluations are fully described in AID Handbook 25, and will be followed by this Mission.

9V

1. PERSONNEL MANAGEMENT

(2) Foreign Service National Staff Administration

POLICY

It is the preference of this Mission that all Foreign Service National (FSN) positions be occupied by Senegalese citizens. Administrative responsibilities for FSNs are shared between the Mission and the Embassy.

PROCEDURES

1. Each year a ceiling for the number of FSN positions is established by AID/W. Within this ceiling, the Mission has substantial freedom to determine which jobs and which individuals will be classified as FSNs. As explained in AID Handbook 31, an FSN has substantial rights and benefits beyond those of local hire staff employed on a contract basis.

2. When an FSN position is to be filled, the requesting office director prepares a job description (or uses an existing job description, if adequate) and sends it with a written justification of the requirement and the names of any suggested candidates to the Management Officer. The Management Office will forward the job description to the Embassy, where a preliminary grade determination will be made.

3. The Management Officer coordinates any necessary recruiting (which can often be assisted by the Embassy) and initial screening of candidates. The final selection of the individual for the position is made jointly by the requesting office director, the Mangement Officer, and the Mission Director.

4. The Management Officer is responsible for securing an employment application, completing other necessary paperwork, and forwarding the paperwork to the Personnel Officer at the Embassy.

5. The Embassy arranges for a security check and for a health examination and prepares all final paperwork, which is then returned to the Management Officer for final signature. The Embassy, upon employment of the FSN, establishes the official personnel file for the new hire and maintains it throughout his or her employment.

6. The requesting office director is responsible for assuring the proper introduction, orientation, and training of the new employee. This includes:

   . Arranging for office space with the Management Officer
   . Making appropriate introductions to USAID staff
   . Assembling appropriate orientation material
   . Planning any necessary formal training in conjunction with the Staff Development Specialist.
   . Scheduling the new staff check-in process at the Embassy (see IV, 1, (6)).

7. During the course of employment, the supervising office director is responsible for routine personnel administrative functions, such as performance evaluations and recommendations on periodic step increases and meritorious awards, described in AID Handbooks 25 and 29, Chapter 5.

1. PERSONNEL MANAGEMENT

(3) Institutionally Contracted Local Staff Administration

POLICY

Except for Foreign Service Nationals, local hire staff will be hired through an existing institutional contract administered by the Management Officer.

PROCEDURES

1. When an institutionally contracted local hire staff person is required by an office, the office director must request such an employee, in writing, from the Management Officer. The written request should specify:

   - Date needed and length of service required
   - Description of duties and responsibilities
   - Minimum qualifications for the position (e.g., language capabilities, education, skills)
   - Supervisory relationship
   - Individual(s) who should be involved in the selection process.

2. The Management Officer is responsible for all necessary coordination and contractual arrangements with the institutional contractor, and is also responsible for initial screening of candidates.

3. When qualified candidates are found by the Management Officer, interviews will be scheduled with the individual(s) designated by the requesting office. The hire decision will be made jointly by the requesting office director and the Management Officer.

4. The employment tenure for the institutionally contracted staff member can be time-limited or open-ended.

5. The requesting office director is responsible for assuring that appropriate arrangements are made, as follows:

- Arranging for office space with the Management Officer.
- Making appropriate introductions to USAID staff.
- Assembling appropriate orientation material.
- Planning any necessary formal training in conjunction with the Staff Development Specialist.

6. Each office director or his/her designee is responsi' le for maintaining accurate attendance records for each of the institutionally contracted local hire staff employed in his/her unit, and the reporting of the attendance to the Management Officer. This will normally be accomplished by maintaining, in a central office location, a sign-in/sign-out log. Blank logs may be obtained from the Management Officer.

7. Any concerns raised by employees regarding the terms and conditions of employment, as well as grade and pay, should be referred to the Management Officer for action.

8. At the conclusion of the employment period or at the end of every twelve months of employment (whichever comes first), the supervising office director submits a performance evaluation on the employee to the Management Officer. The general procedures used for direct hire performance evaluations should be followed where applicable. In the case of a twelve-month performance appraisal, this document will provide the basis for discussion of any salary action.

1. PERSONNEL MANAGEMENT

(4) In-Residence PSC Staff Administration

GENERAL POLICY

Management Officer is primarily responsible for the hiring and inistration of contractor staff. While contractor staff services ın be obtained through the use of Purchase Order, institutional contracts, and Personal Services Contracts (PSCs), the latter two mechanisms are preferred. Wherever possible, multiple sources for the desired service should be found so that a competitive contracting process can be conducted.

Purchase Orders

POLICY

When there is a specific product to be produced, when the product can be explicitly defined, when the effort required to produce the product can be accurately estimated and when the total cost of the product will not exceed $10,000, a Purchase Order may be used to secure a contractor.

PROCEDURES

1. The requesting office director notifies the Management Officer in writing concerning the requirement specifying:

   - Statement of work (including a definitive description of the product)
   - Estimated number of hours of work required and suggested hourly rate of pay
   - Length of time required and desired starting date
   - Budget for estimated reimbursable expenses to be incurred
   - Recommended source(s) for the service.

101

2. The Management Officer in conjunction with the requesting office director contacts the individual or firm and negotiates the terms of the Purchase Order.

3. When negotiations are complete, the Management Officer prepares the Purchase Order and secures all necessary signatures and approvals. Contractor may not begin work until the Purchase Order has been fully executed.

4. The requesting office director is responsible for the supervision and technical direction of the Purchase Order work. Contractor invoices are to be submitted to him/her for approval, then forwarded to the Management Officer for approval, and finally submitted to the Controller for payment.

5. When all of the terms of the Purchase Order have been satisfactorily completed, the requesting office director must prepare and submit to the Management Officer (1) a memorandum certifying that fact, and (2) a contractor performance evaluation report. The Management Officer will then initiate the contract close-out process.

Institutional and Personal Service Contracts for Staff

PROCEDURES

1. At least three months before the services of an individual are required, the requesting office director notifies the Management Officer in writing, specifying:

   - Nature of the work to be performed and the required qualifications of the individual
   - Estimated number of weeks of work required and needed starting date
   - Recommended source(s) for the service.

102

2. The Management Officer in conjunction with the requesting office director contacts the recommended source(s) to assess availability and interest, and to request a curriculum vita and an earnings history.

3. Upon receipt of the requested information, the Management Officer will work with the requesting office director to prepare an offer letter that specifies:

   - Nature of the work
   - Starting date and duration
   - Salary
   - Entitlements (e.g., COLA, predeparture benefits)
   - Supervisory arrangements.

4. A draft of this letter will be reviewed by the Contracting Committee (composed of the Deputy Director, Controller and Management Officer) for reasonableness and consistency with policy. When it has been approved, it is sent by the Management Officer to the proposed contractor.

5. The Management Officer negotiates all terms and conditions of the proposed contract with the institution or the individual. When negotiations are completed, the Management Officer prepares the contract. If the total value of the contract is up to $100,000, the Management Officer is fully empowered to negotiate and execute the contract. If the total value exceeds $100,000, the REDSO/WA Contracting Officer must approve the terms of the contract and sign it.

6. When a contract is executed with a U.S. hire PSC, it is the responsibility of the Management Officer to make certain that a security clearance is obtained before the individual arrives in Dakar.

7. The requesting office director is responsible for assuring that all arrangements required to prepare for the arrival of a contractor and to make the contractor productive are made. These include:

- Notifying the Management Officer of required office space, supplies and equipment
- Notifying the Project Support Unit of support assistance required (see policy on Support Services IV, 1, (5))
- Assembling orientation material
- Making introductions throughout the Mission
- Arranging airport reception.

8. Contractor invoices and reimbursement vouchers are to be submitted to the requesting office director (or designee) for approval and then forwarded to the Management Officer for approval.

9. When a contract covers more than a twelve-month period and provides a clause for the negotiation of salary and entitlements for the period after the first twelve months, the negotiation will be conducted by the Management Officer, based upon a performance report submitted by the appropriate office director.

10. In unusual circumstances, the office director may believe it is necessary to extend the contract briefly beyond its original termination date. In this case, the office director must notify the Management Officer at least two months in advance of contract termination and describe in writing:

- The circumstances that necessitate the contract extension
- The desired extension period.

The Management Officer is responsible for negotiating and executing the extension, if approved.

REFERENCE: AID Handbook 14, Appendix F.

1. PERSONNEL ADMINISTRATION

(5) Allowances, Embassy Services and Mission Support Services

GENERAL POLICY

Benefits provided to various classes of direct hire and contractor staff are governed by Embassy and AID policy, and few are subject to negotiation.

U.S. Direct Hire Staff

POLICY

U.S. Direct hire staff are provided the following benefits:

- Allowances
  - Post differential
  - Cost of living allowance (COLA)
  - Utilities
  - Furniture
  - Educational allowances
  - Guard service
  - Rest and recuperation (R & R) leave
- Embassy Services
  - Cashier services
  - Commissary privileges
  - Health Unit services
  - Visa assistance
  - Pouch privileges
  - Cafeteria privileges
  - Language instruction

Support Services

- Locating and securing housing
- Arranging housing repairs
- Customs clearance and transport of goods
- Travel arrangements
- Motor pool services for official business
- Securing needed furniture and appliances

Foreign Service National Staff

POLICY

Foreign Service National staff are provided the following benefits:

- Embassy Services
  - Health Unit services
  - Cafeteria privileges
- Support Services
  - Motor pool services for official business

Offshore Institutional and Personal Services Contractors

POLICY

The terms and conditions of each contract are negotiated in light of the individual circumstance of the contractor and the work to be performed. However, the maximum benefits that can be provided are as follows:

- Allowances
  - Post differential
  - COLA

- Housing allowance
- Utilities allowance
- Furniture allowance
- Educational allowance
- Guard service allowance
- R & R allowance (if the contract period is for two years)

. Embassy Services
  - Cashier services
  - Health Unit services
  - Pouch privileges (with limitations on frequency of use and weight)
  - Cafeteria privileges

. Support Services
  - Customs clearance of personal goods (provided by Mission PSU)
  - Travel arrangements
  - Motor pool services for official business
  - For contractors stationed outside of Dakar, transportation assistance with personal goods, and the securing of housing, furniture, and appliances can be requested from the Project Support Unit.

In-Residence PSC Staff

POLICY

When contracts are negotiated with contractors who are in-residence in Senegal, the specific circumstance of the individual are taken into consideration in determining the benefits each will receive. The usual set of benefits are:

. Embassy Services
  - Cashier services
  - Health Unit services

. Support Services
  - Travel arrangements
  - Motor pool services for official business.

107

(6) Initial Processing of New Staff

POLICY

The Mission will make every possible effort, within the limits of AID policy, to assure that the first few days at post for new staff are positive experiences and that the staff member and family are settled as rapidly as possible.

PROCEDURES

U.S. Direct Hires

1. In addition to the preparations specified in Section IV, 1, (1), the Management Officer, in cooperation with the Embassy's Community Liaison Officer, will appoint a Welcoming Committee that will be responsible for:

   - Meeting the incoming family at the airport
   - Stocking the house with essential supplies such as milk, basic staples, and several days' supply of food
   - Arranging social introductions and activities within the American community
   - Giving the arriving employee the "Welcome to Dakar" blue book.

2. On the morning of the first working day after arrival, the new employee and spouse will meet with the Management Officer, who will brief them on the in-processing procedure, introduce them to the Director and Deputy Director, and escort them to the Embassy for official in-processing.

3. At the Embassy, the new employee and spouse will receive a "Welcome Kit" and undergo formal in-processing which includes:

- Security briefing
- Orientation
- Forms completion (for allowances, etc.)
- Briefing on Embassy services
- Introduction to the Ambassador and DCM.

4. During the first or second day, following the Embassy check-in, the new employee will meet with the Management Officer, who will explain procedures for:

   - Travel
   - Housing repairs
   - Insurance
   - Air Freight

   The employee will also be introduced to the Controller, who will make final arrangements for time cards and salary payments.

5. Responsibility for the orientation of the new employee will then be passed to the appropriate officer director, who will complete the staff introductions and work orientation process.

<u>Foreign Service Nationals</u>

1. The initial processing for FSNs is similar to that for U.S. direct hires, except that a Welcoming Committee is not required and the in-processing procedure at the Embassy is abbreviated.

2. The need for an appropriate work orientation at the Mission is not, however, diminished. Both the Management Officer and the appropriate office director or designee should plan the work orientation carefully so that the new employee can become rapidly effective at his/her new position.

Institutional and Personal Service Contractors

1. The initial processing of institutional and personal services contractors will be handled entirely by USAID/Senegal.

2. The Management Officer is responsible for explaining fully the support policies of the Mission and for advising the contractor on how to handle the many chores required to become settled at this post. He also will explain the procedures for contract payments and reimbursements.

3. The responsibilities of the assigned supervisor are identical to those for direct hire staff:

   - Staff introductions
   - Assuring that office space, equipment and supplies have been arranged
   - Providing work orientation and office introductions.

1. PERSONNEL ADMINISTRATION

(7) Processing of Departing Staff

POLICY

In order to avoid the heavy burdens that are placed on Mission and Embassy staff when out-processing is not appropriately completed, the out-processing procedures for staff will be adhered to strictly.

PROCEDURES

U.S. Direct Hire Staff

1. At least six months before the end of a tour, the staff member completes a COAR and submits it to the Management Officer, who will process it within the Mission and forward it to AID/W. This process may result in the reposting of the staff member to another Mission or to AID/W.

2. Upon receipt of orders from AID/W, the employee submits a travel authorization request form to the Management Officer. At that time, the Management Officer gives the employee a master check-list for all of the steps that must be completed and clearances that must be obtained before the staff member is cleared to leave the post. Examples include:

   - Embassy
     - Cashier clearance
     - Security check-out
     - Shipping arrangements
     - Furniture inventory

. USAID

  - Furniture inventory
  - PER completion
  - Controller check-out
  - Arrangments for work coverage
  - Forwarding address with C&R (for personal mail)

3. When arrangements have been made to fully complete the checklist, the travel request will be processed and travel arrangements will be finalized. Travel orders will only be issued to the employee after the checklist has been completed.

Institutional and Personal Services Contractors

1. Four weeks prior to the expiration of the contract, the contractor's supervisor must notify the Management Officer that the contract is terminating and identify the precise date of termination.

2. Prior to the termination date, the contractor's supervisor prepares and submits to the Management Officer a performance report on the contractor and determines the preferred disposition of property items (such as furniture and vehicles) that have been purchased with project funds for the contractor's use. Instructions for completing a contractor performance evaluation report are contained in Handbook 14, Appendix C.

3. The Management Officer is responsible for giving the contractor a copy of the "contractor checkout list" and assuring that it is fully executed. Among other things, the checkout process involves:

   . Returning ID cards
   . Arranging for final payments
   . Returning project and Mission property.

4. Upon completion of the checkout process, the Management Officer will initiate the contract close-out process and will forward a copy of the contractor performance evaluation report to AID/W.

1. PERSONNEL ADMINISTRATION

(8) Incentive Awards

POLICY

In order to encourage and recognize outstanding staff performance, this Mission will attempt to utilize the full range of available incentive awards for direct hire staff.

PROCEDURES

1. Periodically during the fiscal year, the Management Officer issues requests to managers for nominees for the various incentive awards. Full information on these awards is available in Handbook 29 or from the Management Officer.

2. In general, nominees for incentive awards are reviewed by a Mission Incentive Awards Committee (composed of the Deputy Director, the Controller, and the Management Officer). The Committee's recommendations are forwarded, for some awards, either to AID/W or to an interagency, in-country committee for final determination.

2. COMMUNICATIONS

(1) Outgoing Telegrams, Pouches, and Mail

POLICY

Outgoing telegrams, pouches, and mail will be handled as expeditiously as possible. C&R is the control point for handling all outgoing telegrams and mail. C&R procedures must be followed. In extraordinary cases, special handling will be provided.

PROCEDURES

Telegrams and Official Mail

1. Drafters and their secretaries are responsible for ensuring telegrams are typed using the correct OCR format and blue form, with a 10-pitch OCR typewriter element.

2. While the Director is ultimately responsible for each outgoing Mission communication, the following internal clearance procedures exist:

   - The Deputy Director clears outgoing telegrams and mail in the following functional areas:
     - Management Office
     - Controller
     - PSU
   - The Program Officer clears programming and implementation-related telegrams and mail in the following areas:
     - Program Office
     - PDO
     - Technical Offices.

115

The Deputy Director and Program Officer, at their discretion, defer final clearance responsibility to the Director. All Mission office directors will have cleared outgoing communications before forwarding to either the Deputy or Program Officer.

3. The Mission C&R Unit maintains an Action Log of all incoming telegrams and mail to ensure that timely responses are given to these communications. C&R enters into the log those telegrams and mail which appear to require a response with the data received, subject, and action office:

   - Each week a list of incoming items to which no response has been made is reviewed by the Management Office and circulated to each Mission unit.
   - Action offices should notify the Management Office of the status of replies to correspondence on the list as soon as it is circulated.

   Drafters of correspondence which responds to prior incoming correspondence should ensure that C&R receives a final copy to close off the entry in the Action Log.

4. Outgoing telegrams (and other correspondence) are picked up from out boxes in the "front office" of each unit by C&R in rounds beginning at 0830, 0900, 1000, 1100, 1200, 1500, 1630, and 1730.

5. Properly cleared, telegrams may be hand-carried to the Embassy Communications Processing Unit (CPU).

6. The Embassy CPU will return telegrams to orginators if there is no clearance signature or if the addressee block or the typewriter pitch (10 pitch OCR) is incorrect. It is the responsibility of the drafting office to ensure that these requirements for transmission are met. The Embassy will return telegrams, rather

than transmit them, if these requirements are not met. In the case of "Immediate" or higher precedence, the Embassy C&R will phone the Mission to make expeditious changes to permit transmission.

7. Telegrams (and other outgoing correspondence) are sent to the Embassy for transmission in four scheduled runs which leave the Mission C&R at 1000, 1130, 1530, and 1645.

8. Depending on the volume and precedence of all telegrams which the Embassy CPU has to process, telegrams received at the Embassy by mid-afternoon will be transmitted by the close of business the same day; if not, the following business day. "Immediate" precedence telegrams are transmitted on the day of receipt at the Embassy.

9. The Embassy cable room, operates from 0700 to 1630 PM on weekdays; on Saturdays, it operates from 0700 until all incoming traffic is cleared, which is typically in the late morning.

10. Before sending telegrams to the Embassy, the Mission C&R makes one copy for the chronological file (the "chron"). No logging is done.

11. Comeback copies (exact copies of the transmission) are received most often the day after the Embassy's transmission of a telegram. They are distributed from the Mission's C&R in the regularly scheduled inter-office rounds. Distribution of comeback copies is as follows:

- Chron file
- Director
- Deputy Director

111

- Drafter
- Clearance point other than the Director or Deputy
- A weekly reading file is prepared by the C&R unit and is circulated throughout the USAID.

The Embassy CPU also keeps a chron file whose contents are accessible for one year.

AIR POUCH

1. All official correspondence, except telegrams, destined for other posts and AID/W is sent by air pouch.

2. Pouches are filled and closed in the Embassy's pouch unit according to the schedule shown on the following page for the most common destinations. In order to get an item into a pouch, it should leave the Mission C&R no later than the 1000 hours scheduled messenger run to the Embassy.

3. Recently experienced transit times from the Embassy pouch unit to selected receiving posts pouch units are shown on the schedule. These times are subject to substantial variation due to deviations from flight schedules and the handling of pouches in and out of airports. Pouch users should also note that distribution from receiving pouch units to addressees could add one or more days, due to local distribution practices at the receiving post.

4. The Embassy pouch unit may be contacted by phone to ascertain the status of particular pouches, although individual contents are not recorded or traceable. The pouch unit can confirm the departure of particular pouches and, after signed receipts from receiving posts are obtained, delivery to the pouch unit at the destination.

EXHIBIT IV-1

POUCH CLOSING SCHEDULE

AMERICAN EMBASSY DAKAR June 1, 1979

POST	CLASSIFIED COURIER POUCH	UNCLASSIFIED AIR POUCH	TYPICAL TRANSIT TIMES (DAYS)
ABIDJAN	1500 THURSDAY	1200 THRUSDAY	4 - 5
ACCRA	1500 THURSDAY	1200 WEDNESDAY (1)	
BAMAKO	1500 TUESDAY	1200 TUESDAY (1)	2
BANJUL	1500 FRIDAY	1200 MONDAY	1 - 2
BISSAU	VARIABLE	1200 FRIDAY	
CONAKRY	1500 FRIDAY	1200 MONDAY (1)	
FREETOWN	1500 FRIDAY (2)	1200 THRUSDAY (1)	
MONROVIA	1500 FRIDAY	1200 THRUSDAY (1)	
NIAMEY	1500 TUESDAY	1200 TUESDAY (1)	
NOUAKCHOTT	1500 THRUSDAY	1200 TUESDAY (1)	1
OUAGADOUGOU	1500 TUESDAY	1200 TUESDAY (1)	2
PARIS	1500 THURSDAY (3)	1200 WEDNESDAY & FRIDAY	2 - 3
PRAIA	VARIABLE	1200 WEDNESDAY	
WASHINGTON	1500 THRUSDAY	1200 MONDAY & THURSDAY	5

(1) POUCHES WILL BE SENT DIRECT ONLY WHEN VOLUME WARRANTS. OTHERWISE, MATERIAL WILL BE SENT VIA WASHINGTON.

(2) SERVICE IS FORTNIGHTLY.

(3) MATERIAL SENT VIA WASHINGTON.

ALL POUCHES SCEDULED TO CLOSE ON A SENEGALESE OR AMERICAN HOLIDAY WILL BE CLOSED ON THE LAST WORKING DAY PRIOR TO THE HOLIDAY.

5. Classified material is sent by special courier according to the schedule shown in the second column of the Pouch Closing Schedule on the previous page.

6. Classified material must be logged out of the Director's safe and wrapped according to regulations. Classified material of any type must be delivered to the Embassy by a security-cleared U.S. direct hire staff member.

LOCAL MESSENGER AND MAIL

1. Official mail to government offices and other destinations within 30 kilometers of the Mission is normally delivered by drivers from the Mission motor pool. Appropriately cleared mail should be left at the 3rd floor reception desk and logged into the transmittal book at that location. Motor pool drivers pick up and deliver this mail twice daily, recording deliveries in the transmittal book with the recipient's signature. Delivery is typically the same day or next day. Urgent deliveries can be handled through C&R by special arrangement.

2. Outgoing mail which will enter the GOS postal system is processed and transferred to the Embassy by C&R in the same fashion as other mail. It is delivered to the Embassy mail room in the course of the four scheduled messenger runs. The Embassy affixes metered postage. Mail is delivered by the Embassy to the post office twice daily. In order to be included in the last delivery to the post office, items should normally be in the last morning messenger run from the Mission C&R to the Embassy.

3. Mail service in Dakar and environs normally results in delivery (to the postal branch nearest the addressee) in one business day. Mail to destinations outside of Dakar typically takes from two to five business days to reach the post office nearest the addressee.

120

2. COMMUNICATIONS

(2) Incoming Telegrams and Mail

POLICY

Incoming telegrams and mail will be distributed as expeditiously as possible. C&R is the control point and channel through which all incoming business communications are received. C&R procedures must be followed. In extraordinary cases, special handling will be provided.

PROCEDURES

1. All incoming telegrams and mail are received through the Embassy.

   . C&R picks up telegrams, pouch mail and GOS mail four times a day in the course of its scheduled messenger runs.

   . Washington pouch mail is received at the Embassy twice a week on Monday and Friday mornings. It is usually received for sorting at the Mission C&R late the same day or the next morning. Therefore, it may be distributed as long as 36 hours after arrival at the Dakar airport.

   . Senegalese and international mail is received daily through the Embassy.

2. The Mission C&R sorts incoming telegrams and correspondence by office. Distribution by inter-office messenger is done in rounds beginning at 0830, 0900, 1000, 1100, 1200, 1500, 1630, and 1730.

   . Business and personal mail are delivered to the "front office" of each unit.

   . Individuals may go to C&R to pick up correspondence and mail, rather than wait for delivery in the inter-office mail.

- Each front office is responsible for distribution to individual addressees within the unit.
- Project Managers are responsible for distribution of mail from their Dakar office to the field. Most often this mail is carried in person, or, the Senegalese mail system is used.

3. Copies of incoming telegrams are distributed as follows:

   - C&R
   - C&R reading file
   - Action office
   - Director and Deputy
   - Other offices, depending on content.

   Copies of incoming mail are distributed as follows:

   - C&R chron file
   - Action office
   - Program Office
   - Director and Deputy.

4. Incoming business mail is opened and logged in a book retained in C&R, which may be consulted to locate the C&R chron file copy, if needed. The following information is logged in chronological order:

   - Date received
   - Action office
   - Subject matter
   - Serial number (assigned by C&R).

5. C&R uses its best judgment to determine the appropriate action office for telegrams and mail which have no obvious indication of the intended recipient or action office.

- When C&R cannot designate the action office, the Management Office is consulted for assistance.
- Following distribution of telegrams and, if a question arises concerning the appropriate action office, the matter is resolved by the Office of the Director, not C&R.

2. COMMUNICATIONS

(3) Telephone Service

POLICY

Local, in-country and international telephone service, though limited and costly, is a necessity. Accordingly, the Mission has to take steps to hold its phone usage to bare minimum. For international communications, telegrams must be used unless circumstances clearly warrant telephone communications. Long distance phone usage is strictly controlled. The Mission's phones are for business use only, with the exception of personal emergencies.

PROCEDURES

General

1. The Mission has two incoming and two outgoing lines, plus some direct lines for the use of designated officers with special requirements.

2. Incoming calls (with the exception of the direct lines) are routed through the switchboard on the third floor. The receptionist rings the appropriate extension and announces the call, which is then transferred.

3. The third floor receptionists are instructed to take messages when an office is unattended. Staff returning to an unattended office should call the receptionist for messages.

4. Outgoing and incoming phone service is available from 0830 to 1800. After hours, incoming calls can only be received at the switchboard.

5. To reach an internal extension, the three digits should be dialed. To reach Embassy extensions, dial 8 and then the Embassy extension. (This line is temporarily out of order.)

6. USAID, USICA, Peace Corps and Embassy phone numbers are contained in a mimeographed list updated monthly by the Embassy. Any changes in Mission extensions should be given to the Management Office for forwarding to the Embassy.

7. All phone usage should be kept to a minimum due to the heavy volume to be handled on a limited number of lines, as well as intermittent interruptions in service.

8. Report any needs for repairs to the Management Office.

9. At no time is discussion of classified information over the phone permitted.

Long Distance Calls

1. Any calls outside of metropolitan Dakar are considered long distance and are strictly controlled. For authorization to make such calls, the caller should fill out a Long Distance Phone Request form, which is available from the Management Office. The form requires information on:

   - Caller
   - Recipient's name, city, phone number
   - Reason for the call in a sentence or two (uninformative statements such as "project business" are unacceptable)
   - Estimated duration in minutes.

2. The request form must be signed by the Management Officer before the call may be made. All long distance calls are placed by the Mission operators, who will only do so when they have an executed copy of the request form on file.

3. For communication with other posts and Washington, telegrams are recommended not only to save money, but also because comeback copies and the response telegram provide a written record of the communication.

4. The Management Office periodically reviews long distance telephone request forms and surveys actual usage. When unauthorized long distance business--or personal calls--are identified, steps will be taken to correct these practices and to bill individuals for personal calls.

2. COMMUNICATIONS

(4) Translation and Interpreter Services

POLICY

It is the policy of this Mission to translate, where appropriate, all major project documents and official correspondence into French for presentation to the appropriate GOS Ministries. In addition, every effort is made to ensure that all outgoing communications in French are proper grammatically, in format, and reflect the proper style and tone of French communication. The Management Office is assigned the responsibility for coordinating this effort. The Management Office's Senior Translator will coordinate the translation of major documents with the originating office and will assist Mission offices in securing translation and interpreter services when necessary.

PROCEDURES

Translations from English to French

1. The originating office is responsible for the accurate translation of all official AID documents and letters that must be translated into French.

2. The Management Office serves as the central coordination office for translation services and will assist other Mission offices in obtaining translation services upon request.

3. If questions and concerns are raised about the translation, the document will be submitted to the Management Office where the senior translator will make the final review of its quality and accuracy and make any changes in consultation with originating office.

4. All outgoing communication in French which requires the signature of the Mission Director or the Deputy Director will be cleared by the senior translator, prior to being forwarded for signature.

Translation from French to English

1. The assistance of the senior translator in the Management Office may be requested for particularly important letters or portions of documents.

2. In order to keep the senior translator's workload reasonable, however, requesting offices should first attempt their own translation and then submit both documents to the Management Office for assistance.

2. COMMUNICATIONS

(5) Senior Staff Meetings

POLICY

In order to ensure the free flow of information throughout the Mission, senior staff meetings will be held each week to exchange information and to discuss important problems and issues.

PROCEDURES

1. A senior staff meeting will be held each Tuesday at 1030 in the conference room. The meeting will be chaired by the Director or in his/her absence, the Acting Director.

2. Regular attendees include:

   - Director
   - Deputy Director
   - Program Officer
   - Regional Controller
   - Management Officer
   - OMVS Director
   - Project Development Officer
   - Food for Peace Officer
   - Health Officer
   - Crop Protection Officer
   - Agricultural Development Officer
   - Project Support Officer

   If an attendee is unavailable for the meeting, he/she may designate an alternate to attend on his/her behalf.

3. At these meetings, any information of general interest is discussed (e.g., visitors, Mission activities, political developments, etc.) and each attendee is invited to describe recent events, plans, and problems in his/her office or projects. When appropriate, the Chair schedules meetings to discuss more fully any problems that are raised or may assign specific follow-up actions.

4. In order for these meetings to serve as a good communications mechanism, each attendee must transmit to the staff in his or her office appropriate general or specific information that may be of interest to them. Within two hours of the meeting's close, the secretary of the Director will distribute a list of main points discussed, which will serve as the minimum amount of information which an office director should convey to his/her staff. In most cases, this may be most appropriately accomplished by holding a brief office meeting in the afternoon following the senior staff meeting.

3. EXTERNAL RELATIONS

(1) GOS and Other External Agency Protocol

POLICY

The Mission must build and maintain close working relationships with the GOS, regional multilateral organizations and other U.S. government agencies. While judgment on protocol is usually a matter of common sense, the procedures below should be followed. The Director or acting Director should be consulted when there is any doubt concerning protocol in face-to-face or written communications.

PROCEDURES

1. The Director (or Acting Director) should sign all correspondence to GOS Ministers, the OMVS Commissioner, and the heads of other multilateral organizations with which the Mission interacts.

   - An exception is when the topic is of a routine nature and is certain to pass through a Minister's office for handling at lower levels, e.g., grades for participant training.
   - Mission office directors and Project Managers may sign correspondence with their counterparts at appropriate levels of ministries and service agencies.

2. The Director or Acting Director must be immediately informed of, and will lead any pending written or oral responses to, official contacts with GOS, other U.S. agencies, or multilateral agencies in the following subject areas:

   - Initial commitment of funds or professional time to special projects or design of new programs with these agencies
   - Interpretation of AID policy at the political level.

131

3. Project Managers are encouraged to develop close working relationships with their GOS counterparts. Invitations to ministerial-level meetings, and meetings with RDA heads or governors should be cleared with the Director for appropriate response and selection of Mission officers to participate.

4. Office directors and other staff with a technical need are encouraged to develop working relationships with appropriate Embassy officers.

5. Only U.S. direct hire staff members are authorized to sign official AID documents, including those directed to GOS and multilateral agencies. At the working level, letters may be sent by PSCs if their office director or other direct hire supervisor has cleared the letter.

3. EXTERNAL RELATIONS

(2) Visitor Planning and Control

POLICY

The Mission must do everything possible to facilitate the work of its numerous visitors. To coordinate each visitor's schedule and support arrangements, a control officer will be appointed for every AID TDY, contractor (other than those based at the Mission), and other visitors.

PROCEDURES

1. All visits should be authorized by the Director before firm arrangements are made:

   - The head of the unit inviting or arranging a visit for its own purposes should notify the Director of the name, organization, purpose, intended arrival date and duration of stay of the visitor.
   - The Director's office will notify the Embassy, whose approval may also be necessary, but is in most cases *pro forma*.

2. When Mission management approval has been obtained, a control officer will be assigned by the Director, or his designee:

   - In most cases, the control officer will be a member of the unit initiating action to arrange the visit.
   - In the case of frequent visitors, standing control officer assignments will be made.

3. The control officer is responsible for:

   - Ensuring the visit is publicized on the Weekly Visitor List (see below) issued by the Management Office
   - Establishing firm or estimated dates of arrival and departure

- Assisting with arrangements for lodging and airport transportation, if necessary, in coordination with the Management Office
- Keeping the visitor's schedule, making mutually convenient appointments with Mission staff or other parties, as requested
- Arranging with the Management Office for desk space, typing support, or other office services required
- Introducing the visitor to staff, as requested or as a courtesy
- Making other appropriate business or social introductions outside the Mission.
- Helping the visitor follow-up his/her work following departure.

4. When the visitor's arrival date is known, the control officer is responsible for reporting this to the Management Office for inclusion on the Weekly Visitors List.

   - The list is published Monday and is distributed to all Mission offices.
   - The list contains the name, organization, control officer, arrival date (and departure date, if known), and lodging location.
   - Information provided to the Management Office by noon Friday will be on Monday's list.
   - The list will contain all visitors expected to arrive over the next month and all who are still in-country as of the date of publication.

3. EXTERNAL RELATIONS

(3) REDSO/WA and AID/W Services

POLICY

The Mission is supported, at its own discretion, by functional units at the Regional Economic Development Support Organization for West Africa (REDSO/WA) in Abidjan and by AID/W. The Mission attempts to be as self-sufficient as possible, drawing on regional or Washington services only when it is most efficient to do so. When required, the Mission must plan and organize its work with REDSO and AID/W to facilitate support in the most efficient and effective manner.

PROCEDURES

REDSO/WA

1. REDSO services (described in Section 3 of Chapter I of this Manual) are requested through a single point of contact within the Mission (described in paragraph 2, below). These points of contact are responsible for the substantive approval of the requirement for assistance and for providing the control officer to facilitate the visit. (Control officer duties are described in IV, 3, (2)). This means that all requests for REDSO service in a particular functional area are coordinated by the assigned office, whether or not the assigned office is the ultimate user of REDSO services. When the assigned office is not the principal user of REDSO services, it may mutually agree for the principal user to provide the control officer.

2. Based on common functional interests, the following Mission units will serve as the single point of contact to coordinate REDSO/WA services:

- PDO for REDSO Project Development Office, including Human Resource Development and Engineering Offices
- Management Office for REDSO Legal Office and Regional Contract Office
- PSU for REDSO Supply Management Office
- Controller for REDSO Controller Office
- Program Office for REDSO Regional Institutional Program Management, and Entente Fund Program and Program Analysis Development Staff
- Food for Peace Office for REDSO Regional FFP Coordinator.

3. A block request for REDSO project development services of all types is made at the annual design conference cited in II, 4, 2 of this manual.

4. Requests for REDSO services are given to the assigned Mission offices, which contacts the appropriate REDSO office. In most cases, the need for REDSO services should be identified far enough in advance to permit the use of routine telegrams or air pouch to make the arrangements.

5. To make the most efficient use of REDSO resources when a REDSO visit to the Mission is planned, users should forward to Abidjan in advance of the visit background information on the matter at issue.

6. In many cases, REDSO services typically involve a visit by REDSO staff to the Mission. Trips are often parts of itineraries involving REDSO visits to other AID posts. When necessary, Mission staff can visit REDSO, with appropriate authorization to travel. In these cases, the appropriate Mission coordinating office should still be the point of initial clearance to arrange the visit.

AID/W SERVICES

1. AID/W services cover the complete range of services available, including those at REDSO. When possible, REDSO services are preferred due to savings in TDY travel and professional time costs and because regional interest in common problems and proposed solutions is best served by such an institution.

2. Services available on a discretionary basis are listed in AID/Washington Directory of Services, 1980 which was published by SER/MO. The Management Office has reference copies.

3. Use of discretionary AID/W services, whether in Washington, Dakar, or by pouch or telegram, requires the approval of the Director.

4. The following Mission units which review the substantive need for selected AID/W services, are responsible for obtaining the Director's approval, and provide the control officer for AID/W TDYs, unless otherwise arranged:

   - AID/OMVS
   - Management Office - PM, SER/MO/CM/MP and AFR/EMS
   - Controller - FM
   - Program Office or PDO - AFR/DR
   - PSU - SER/COM
   - Director - AA/AFR
   - ADO - AFR/ARD, DSB/AGR, DSB/RD.

4. TRAVEL AND TRANSPORTATION

(1) Motor Pool

POLICY

The Mission's motor pool provides service for local, business-related travel and OE-funded field trips. (Project-funded field travel is the responsibility of Project Managers, who use project-owned vehicles or other means). The service includes both a vehicle and a driver, who is responsible for all vehicle-related concerns.

PROCEDURES

1. The Mission motor pool, which reports to the Management Office, provides local and OE-funded field transportation.

   - It operates from a garage rear the Nina Hotel during business hours and on Saturdays.
   - Ten vehicles, either Jeep Wagoneers or Ford Fairlanes, are available.

2. In-town service is on a first-come, first-served basis. For service other than to the Embassy, there are three ways to make arrangements:

   - Sign a dispatch sheet located at the 3rd floor reception desk the day before service is required with name, date and time, and origination and destination points. At 1700, this sheet is taken to the motor pool dispatcher to schedule the following day's runs.
   - If same-day service is needed, sign a similar sheet located at the 3rd floor reception desk. This sheet is forwarded to the dispatcher several times during the day. This sign-up sheet typically results in availability of service from one-half to two hours after sign-up.

138

- For immediate service, Mission staff may locate Mission vehicles (green plates with 008-IT) with drivers in front of the BIAO and SIDH buildings on Ponty. If not previously scheduled by the dispatcher, they are available for short runs within the city.
- If no vehicles are available, taxi cabs or personal vehicles should be used, in accordance with standard procedures for reimbursement.

3. A shuttle leaves for the Embassy every hour beginning at 0845 a.m. and returns from the Embassy each hour beginning at 0905 a.m. The exception to this schedule is the lunch period from 1230 to 1430. Every effort should be made to schedule trips to and from the Embassy during the shuttle schedule so that additional vehicles will not be required. Request should not be made for the driver to deviate from this schedule.

SHUTTLE SCHEDULE

FROM USAID TO EMBASSY	FROM EMBASSY TO USAID
0845 hours	0905 hours
0945	1005
1045	1105
1145	1205
1445	1505
1545	1605
1645	1705

The shuttle leaves the USAID from in front of the BIAO building and the Embassy from outside the entrance.

149

4. Requests for service outside of normal business hours should be made as follows:

   . Sign up on the next day's request sheet at the 3rd floor receptionist, e.g., for early airport runs or after-hours business travel.

   . Contact the dispatcher directly.

5. The OE-funded field travel, a Transportation Request Form, available from the Management Office or the garage, must be filled out:

   . This form, which must be signed by the Management Officer before transmittal to the dispatcher, calls for complete details on the trip, e.g., name, destination and itinerary, dates, preferred driver, etc.

   . This form should be submitted the Management Office as soon as the intended itinerary is known.

6. For field trips, the arrangements on the road are as follows:

   . The driver will have a fully fueled vehicle with extra jerry cans of fuel, if necessary.

   . The driver will also have all gas coupons necessary, given the estimated mileage.

   . The driver will have been given 80% of his per diem for food and lodging; passengers must make their own arrangements with the Controller's Office for advances, if desired.

   . The vehicle carries a tool box for small repairs; it is recommended that passengers budget for and carry 4000 CFA for each day of the trip to cover any mechanical assistance required in the field; if used, these funds will be reimbursed to the passenger by the Controller's Office.

   . The driver is responsible for knowing the route, performing routine maintenance or finding local assistance, dealing with police or other local authorities, if necessary, arranging for guardians, and helping unload and load luggage and equipment.

   . In the event of an impending mechanical problem or medical emergency, drivers are instructed to return to Dakar with the passenger and vehicle if possible.

7. The motor pool attempts to stock field gear, such as sleeping bags, tents, canteens, and blankets. This gear should be requested on the Transportation Request Form.

- The gear, if available, will be loaded from the garage by the driver.
- The passenger must sign for the equipment and is accountable for it.
- The equipment must be signed in at the conclusion of the trip.
- Because of very limited availability of gear, passengers should seek to confirm whether requested items are available well in advance of the trip.

8. The following restrictions apply to the use of the motor pool:

- Vehicles are used only for official business.
- Only Mission employees and their accompanied business-related visitors or guests may use the service.
- Only motor pool drivers may check out and drive the vehicles.
- Motor pool vehicles are only used for OE-funded field travel; project-funded field travel is made in project-owned vehicles, which are neither owned nor operated by the motor pool.
- The motor pool garage, and its equipment and supplies are used only to support official business-related local travel and OE-funded field travel; however, its staff may offer advisory assistance to project teams and individual employees, time permitting.

141

4. TRAVEL

(2) Travel Authorization and Arrangements

POLICY

Travel in-country, in the region and overseas is an essential element of the Mission's operations. A set of government-wide standardized policies and procedures governs authorization of travel and its reimbursement. The Mission Management Officer and Controller are responsible for strictly enforcing these regulations. They apply equally to direct hire and contractor staff whose contracts call for government-paid travel while based in Dakar.

PROCEDURES

Authorization to Travel

1. The traveler initiates the process by completing a USAID/Senegal Official Travel Request form. The form requires complete information on the intended trip, including:

   - Type of travel (in-country, U.S., TDY, etc.)
   - Departure and return dates
   - Route and days at each stop
   - Whether a travel allowance and excess baggage are required.

2. The request form is available in the Management Office, Controller's Office or the front office of other Mission units. After the traveler completes the form, the processing is as follows:

   - The traveler's supervisor reviews and signs the forms.
   - The Management Officer reviews and signs the form, checking for such items as the following:

142

- Supervisor's signature
- Eligibility for R&R or home leave.

. The Management Office transmits the request form to the Controller, who then adds a control number and makes a preliminary determination of availability of funds in the appropriate OE or project account.

. Then, the Management Office transmits the Official Travel Request to the Embassy Travel Section in the Personnel Office.

3. The Travel Section prepares an AID Request and Authorization of Official Travel, or "TA", form.

. This form is returned to the Controller, who enters the appropriation and allotment information.

. Finally, the Management Officer reviews the TA and signs the form, which constitutes an obligation document.

4. Travel bookings with airlines are made in two ways:

. In most cases, the traveler, by not indicating otherwise on the original USAID/Senegal Official Travel Request form, requests the Embassy Travel Section to make the bookings and hotel reservations.

. When the Embassy Travel Section makes bookings, it obtains tickets and hotel confirmations and delivers them to the Mission Management Office, which then distributes them to travelers.

. If the traveler prefers to make his or her own bookings, this should be indicated on the request form. As a result, a Government Travel Request (GTR) will be issued with the TA.

A GTR presented to most airlines is accepted as a form of payment.

5. When repeated authorized in-country travel is necessary, travelers can apply for an annual "blanket" TA through the Management Office. With a blanket TA, a Travel Request Form must still be approved for each trip.

147

6. Travelers should allow five working days from the time the Official Travel Request form is submitted to the Management Office to the time tickets are desired. However, in many cases, service is completed in less than five days.

Travel Advances

1. Advances up to 80% of the traveler's estimated out-of-pocket expenses, such as hotel costs, may be requested. Most travelers prefer advances because it takes at least one month to receive reimbursement after a travel voucher is submitted.

2. To obtain an advance, indicate the requested amount on the Travel Advance Request form, which is available in the Management and Controller's Office, as well as in the front office of most Mission units.

3. The form should be completed at least five days before the need for the advance. The form is reviewed and signed first by the Management Officer, then by the Controller, who checks, among other items, for costs within permissable per diem limits. The traveler then takes the executed form to the Embassy cashier, who pays out the advance.

Travel Reimbursement

1. Travelers should retain airline ticket stubs, hotel bills and other receipts.

2. The traveler completes a travel voucher form obtainable from the Management Office, the Controller, or the front office of each unit, and signs and submits it to the Management Office.

3. Following the Controller's review and sign-off, the voucher is submitted to Paris, which cuts the check and returns it to the Embassy.

4. Travelers should allow at least one month for reimbursement. Under present arrangements they must contact the Embassy cashier to confirm that the check has arrived and make their own arrangements to pick it up.

5. Travelers can make standing arrangements, through the Controller's Office, to make direct deposits of travel reimbursement checks from Paris to their U.S. or foreign bank accounts.

Local Travel

1. When motor pool vehicles are unavailable for local travel, the use of taxi cabs is authorized.

2. Travelers must use their own funds.

3. Reimbursement is obtained using the same voucher as for long distance travel. Reimbursement is obtained in cash from the Embassy cashier, following Management Office and Controller approval, if the amount is less than $100. If in excess of this amount, payment will be made by check from Paris.

5. OTHER PROCEDURES

(1) Central Files

POLICY

Central files for program, project and Mission-wide documents are maintained in the C&R. These files serve two purposes. First, they are intended to be a complete set of documents necessary to fulfill certain formal AID record-keeping requirements. Second, the central files are available as a "source of last resort" when working copies of documents in other parts of the Mission are unavailable or misplaced. To fulfill both purposes, C&R will maintain controlled access to the files.

PROCEDURES

1. C&R's central files comprise several sets of organized materials

   - Program-level files
   - Individual project files
   - Subject files
   - Chron files for telegrams and PIOs

   A description of file content is contained in the chart following this page. C&R should be consulted for details on the structure of individual files.

2. In order to keep the files complete, C&R should be copied on all official correspondence. C&R obtains copies of incoming and outgoing telegrams for its files in the course of its processing of these communications.

3. The C&R central files are available for use during normal business hours, or, after hours, if special arrangements have been made:

- Files may be reviewed at the cabinets, or borrowed for up to two weeks
- Sign-out cards must be completed and left at the location of withdrawn files
- C&R will call back files requested by subsequent borrowers and files inadvertently kept longer than two weeks.

4. To preserve the integrity of the files for official recordkeeping purposes and as a reference for all staff to use, the following procedures are mandatory:

- C&R staff will return files to the cabinets to ensure the maintenance of the file structure and the entry of control information on the sign-out cards
- No file copies of material are to be removed from their folders except for photocopying, after which they should be returned immediately to the folders
- No files should be carried or sent out of Mission offices, except for overnight use
- Any loss of individual papers or folders should be reported to C&R immediately
- In the event of loss of material, full, expeditious cooperation should be given to C&R in its effort to recontruct files
- C&R staff will make all retrievals of files in storage.

5. OTHER PROCEDURES

(2) Use of the Documentation Center

POLICY

The Documentation Center in the Program Office will maintain a cross-referenced library of program, project, and general literature on Senegal and the African continent for use by the Mission staff. Upon request, the Center will perform general literature searches and will attempt to acquire specific documents.

PROCEDURES

Acquisition of Material

1. One copy of each major Mission document should be distributed by the originating office to the Documentation Center, examples include:

   - PIDs
   - PPs
   - Special studies
   - Evaluation reports
   - CDSS
   - Grant Agreements

2. Staff members who acquire literature that may be of interest to others are expected to deposit that literature with the Documentation Center when their immediate need for that literature has been met.

148

3. Professional materials distributed to the Mission by AID/W, the Government of Senegal and other Sahelian countries and agencies will be retained in the Center for use by all staff.

4. The Center will maintain exchange agreements with other AID Missions and regional organizations to enhance its ability to acquire documents needed by the Mission's staff.

5. Professional journals acquired through Mission subscriptions will be controlled by the Center.

Use of the Center

1. To request a general literature search or the acquisition of a specific document that is not on file in the Documentation Center, a request form should be obtained from the Center and fully completed.

2. The Center maintains cross-referenced index files and a sign in/out system of controls for the materials it maintains. Mission staff may consult the index files at any time or may request the assistance of the Librarian. Staff may not take any material out of the Center without completing the sign-out process.

3. Periodically, the Center circulates a list of all recent acquisitions so that the staff can keep informed of Center holdings.

149

5. OTHER PROCEDURES

(3) Reproduction

POLICY

The USAID will provide for reproduction of essential program, project and management documents to facilitate operations. Reproduction requests should be kept to the bare minimum due to equipment, storage and cost limitations. C&R's procedures for reproduction must be followed.

PROCEDURES

1. Reproduction machines are located in the Mission C&R, Controller's Office, and the OMVS Coordination Office.

   - Machines operate during normal business hours, unless priority requests for service necessitate overtime or week end use.
   - All reproduction, other than that in Offices with their own copying machines, should be done on the C&R machine.

2. To obtain copies, a C&R Reproduction Request form is completed. These forms are available in the front office of each unit or at C&R. The form requires the following information:

   - Name and unit of requestor
   - Number of pages submitted and number of copies desired
   - Precedence:
     - Routine
     - Priority
     - Immediate

150

3. Work to be photocopied may be brought to C&R or sent through the inter-office mail with a completed request form.

4. If more than 20 copies of typed materials are needed, the work will be done using a mimeograph machine. Stencils may be obtained from the C&R supply room. The use of carbon-set forms is strongly encouraged for material of few pages which requires few copies.

5. Service is given on a first-come, first-served basis

   - Routine is the precedence which should apply to most requests; routine requests are handled the same day or next business day
   - Priority requests receive handling before routine work
   - Immediate requests will be handled while the requestor waits.

   This order of precedence, self-administered, is essential to make the most of limited reproduction capacity. C&R staff will use their own judgment or will query requestors if the indicated precedence of an incoming job could dislocate work in process.

6. C&R staff are the only individuals permitted to operate the reproduction machines.

7. Completed jobs of routine precedence may be picked up at C&R or, if not, received through the inter-office mail. Immediate and priority jobs will be hand-delivered to the requestor if arrangements are made in advance.

8. C&R will keep a record of all completed jobs, with names of requesting units, number of copies made, and the date work was completed.

9. C&R will provide services to AID TDYs, PSCs and other contractors, provided their control officer or office has given approval.

10. No reproduction of other than USAID business-related material is permitted.

5. OTHER PROCEDURES

(4) Office Space, Supplies and Equipment

POLICY

Within budgetary, physical and logistical limits, the USAID will make every effort to accommodate the office needs of units and individuals based in Dakar. The Management Office is responsible for these arrangements. With respect to supplies and equipment acquisition and disposal, the Mission will work cooperatively with the Embassy. It is essential to make the most of office space, supplies and equipment and to safeguard this government leased or owned property.

PROCEDURES

Office Space

1. The Management Office makes all space assignments to units within the BIAO building, based on the following considerations:

   - Amount of available and obtainable space in the inventory within budgeted limits
   - Inter-office work flow
   - Number of staff based in Dakar
   - Composition of staff, by grade and type
   - Special needs, such as exceptional storage or equipment requirements.

   The entire inventory is periodically reviewed to assess allocations to units and the need for any adjustments.

2. Heads of units, within their total space allocation, have the authority to make assignments in accordance with their unit's needs and preferences. They may request adjustments in their office space allocations at any time, but should keep in mind that there are substantial externally imposed limits on space available.

3. Should there be a need for additional office space for a limited period (such as 3 to 6 months), unit heads may request the Management Office to consider short-term rentals. The fulfillment of such requests requires a well supported justification and available OE (or project) funds.

4. Control officers are responsible for arranging desk assignments for visitors either within their own unit or nearby units.

5. The Management Office handles any requests for routine or emergency maintenance or repairs. These requests are processed by the Management Office for transmittal to the Embassy GSO if they require the services of local tradesman or artisans. Routine janitorial services are handled by Mission employees who report to the Management Officer.

Office Equipment and Furniture

1. The Management Office, through the Mission C&R, controls the acquisition, assignment, repair, maintenance, and disposal of office equipment and furniture.

2. In almost every case, furniture and equipment is obtained from the Embassy. Mission staff should not contact the GSO directly concerning office furniture or equipment, except when requested to do so.

3. The Management Office assigns furniture and equipment based on the following considerations:

- Availability of items within stock and budgetary limits
- Number of staff based in Dakar
- Composition of staff, by grade and type
- Special needs, such as exceptional storage or computational requirements.

4. Furniture and equipment is assigned to units, not individuals. Unit heads may make individual re-assignments of furniture and equipment based on the unit's needs and preferences.

5. Requests for repairs, replacements, and maintenance are made in writing by office heads to the Management Office. Like acquisitions, these services are provided by the Embassy GSO to the Mission through the Management Office.

Office Supplies

1. The Mission C&R maintains a supply of commonly used consumable and small desk-top items, such as pads, pencils and staplers. These items are stored in a supply room to which only C&R staff are permitted access.

2. To request supplies, a USAID Request for Supplies form is completed. Available from C&R or in the front office of each unit, the form requires the following information:

- Name of requestor and unit
- Date
- Description and quantity of requested items.

The form also is used to record the quantity of supplies actually issued from stock.

3. If the requested supplies are not in stock, C&R will order them from the Embassy GSO. This process normally requires about one week to complete.

4. If the GSO is out of stock, or does not customarily stock, the requested item, an order is placed by GSO with the General Services Administration or other source through State Department administrative channels. Fulfillment of such orders can take from several weeks to a few months.

5. In exceptional circumstances, the Management Office, may authorize the local purchase of special or out-of-stock items. In this case, C&R will handle the purchase.

6. The front office of each unit should take steps to manage their supply needs.

   . Sufficient stock of commonly used items should be kept in the unit to preclude orders from C&R more than once a week.

   . Special items should be requested far in advance of need, given the likelihood of long lead times to acquire some of them through GSO.

7. Office supplies are provided solely for official use.

156

5. OTHER PROCEDURES

(5) Security and Emergency Procedures

POLICY

All Mission staff must be fully informed about, and practice, security and emergency procedures in line with AID-wide, USAID/Senegal, and Embassy Dakar policies. Implementation of these policies on a continuing basis is the responsibility of the Management Office. Violations of procedures will be brought to the attention of the Director, who will take appropriate corrective, and, if necessary, disciplinary action.

PROCEDURES

Emergency Assistance

1. For a police emergency in Mission offices:
   Call the gendarmerie by dialing 17, giving the address and floor location in French.
   Example: Ici l'USAID/Sénégal. Nous avons besoin de votre aide. Un incident vient de se produire dans nos bureaux:-------------. Nos locaux se trouvent au 4e étage de l'Immeuble BIAO, Place de l'Indépendance. Veuillez demander ------------------dès votre arrivée. Merci.

2. For a fire emergency in Mission Offices: (Page IV-66) Call the fire service by dialing 18, giving the address and floor location in French.
   Example: Ici l'USAID/Sénégal. Le feu vient de se déclencher dans nos bureaux qui se trouvent au 3e étage de l'Immeuble BIAO, Place de l'Indépendence. Nous avons besoin de votre aide.

157

Fire extinguishers are located as follows:

(1) At the main entrance of the fourth floor

(2) At the stairway directly across from the Regional Controller's Office

(3) At the main entrance to the third floor

(4) At the doorway to the main C & R unit

(5) At the main entrance to the second floor

(6) At the stairway on the second floor

(7) At the main entrance to the OMVS Office.

Fire extinguishers are inspected and tested three times a year to ensure that they are operable.

3. For a medical emergency in Mission Offices:
Call the Clinique Hubert by dialing 21.68.48 for ambulance service, giving the address and floor location in French: Example: Ici l'USAID/Sénégal. Nous avons besoin d'une ambulance en urgence. Nos bureaux se trouvent au 2e étage de l'Immeuble BIAO, Place de l'Independence.

4. When in doubt about how to handle any other type of emergency, immediately consult the Management Officer, or the Director or acting director for instructions.

5. Potential emergencies affecting the foreign community in Senegal would be handled by the Embassy, which would convey instructions through the Director or acting director.

6. Report any emergencies at home to the Management Office, or, the Director or acting director.

Physical Security

1. The entrances to all USAID offices are controlled by combination locks. Only U.S. employees are provided the combination. All entrances to USAID offices are open from 0800 until 1800, except during the lunch hour between 1230 and 1430, when all offices are locked. A U.S. employee is designated for each USAID office entrance and is responsible for ensuring proper security procedures. The Management Officer has overall security responsibility for the USAID Building.

2. Those employees who are required to work after hours are responsible for ensuring that the exited entrance is locked upon their departure.

3. After hours, members of the Embassy Marine guard force make a security inspection of Mission offices. Violations, such as unlocked doors, are reported to the Management Office, the Director, as well as the Regional Security Office at the Embassy. Based on the type of violations found, greater restriction of access to offices may be necessary. In the case of serious or repeated violations, disciplinary action will be taken.

4. Visitor control:
   To ensure proper security, access to the USAID Building is controlled by the receptionist located at each entrance to a USAID office. Upon the arrival of a visitor, determination is made as to who he/she wishes to see, the office is contacted and requested to send a representative to the receptionist desk, and the visitor is personally escorted to this location. At the completion of the business transaction, the visitor is escorted back to the receptionist desk.

All official members of the U.S. Mission have free access to the USAID Building. This is determined by recognition or the showing of a proper identification to the receptionist.

Personnel

1. All U.S. direct hire staff will have been approved for SECRET clearance before arrival in Dakar.

2. "Offshore" contractors will be processed for security clearances if their work requires access to classified information.

3. All FSN staff will have been cleared with Senegalese authorities by the Embassy RSO before coming on board.

4. The same procedure as 3 above is followed for the security clearances of non-direct-hire FSN employees.

Document Security

1. As a general rule, all materials classified for Limited Official Use (LOU), confidential, or higher are accessible only to appropriately cleared staff and only on a need-to-know basis.

2. Material being borrowed is controlled by a sign-out sheet maintained by the Mission Director's secretary. When classified material is returned, proper notation is made on this sign-out sheet.

   A log is maintained by the Mission Director's secretary of all classified material that is retained in the Mission Director's office. When classified material is returned to the Embassy communication center proper notation is made in this log.

The Director's secretary will contact appropriately cleared U.S. personnel and request that they come to the Director's office to read classified communications that relate to their area of responsibility or require action by their office.

3. Classified material other than LOU cannot be stored in the Mission

   - If on loan for the day from the Embassy, such material must be constantly safeguarded by appropriately cleared U.S. direct hire staff
   - It is recommended that all materials classified above LOU documents be used at the Embassy to ensure their security.

4. Classified telegrams (outgoing or incoming) are to be carried to or from the Embassy only by appropriately cleared U.S. direct hire staff:

   - When the Embassy C&R has incoming classified traffic, it notifies the Mission C&R by note in normal messenger runs if the message is of routine precedence. If priority or immediate traffic is received, the Embassy notifies the office of the Director by phone.
   - U.S. direct hire staff delivering outgoing classified telegrams should deliver them to the Embassy Communications Processing Unit.

5. In the event of a building-wide emergency, such as a fire, the Management Officer will take appropriate steps to safeguard any classified material stored or temporarily in the Mission.

161

5. OTHER PROCEDURES

(6) Overflow Typing

POLICY

The Management Office is responsible for coordinating the secretarial resources of the Mission and supplementing those resources when necessary in order to handle unusually large typing loads in any of the Mission's offices.

PROCEDURES

1. When an unusually heavy typing load is anticipated in an office and it becomes evident that the office's secretarial staff will be unable to handle the work within the available timeframe, the Management Officer should be notified immediately and advised of:

   - Amount of overflow typing
   - Date material will be ready for typing
   - Date by which typed material is needed
   - Language of typed material

2. The Management Office will check the anticipated work load throughout the Mission and determine whether the overflow typing can be accommodated internally or whether temporary secretaries must be used.

3. If the work can be accommodated internally, the Management Office will act as the coordinator by:

- Receiving the overflow typing from the requesting office
- Scheduling the time of available secretaries
- Monitoring the work
- Returning the completed typing

4. If the work cannot be accommodated within the Mission, the Management Office will make every attempt to arrange for temporary secretarial help and secure needed typewriters and working space. It will be the requesting office's responsibility, however, to manage the temporary help.

5. OTHER PROCEDURES

(7) Arranging Temporary Secretarial and Clerical Coverage

POLICY

The Management Office will assist all offices in the Mission with secretarial and clerical coverage for planned absences and will attempt to provide assistance for unplanned absences.

PROCEDURES

1. When a planned secretarial or clerical absence becomes known to an office director and if he/she determines that additional temporary assistance is required, the office director should notify the Management Officer in writing as soon as possible, identifying:

   . Number and qualifications of staff required
   . Starting and ending date

2. The Management Office will determine whether a temporary transfer can be made from another office or whether a temporary employee must be found. In the latter case, the Management Office will make all necessary arrangements.

3. Should an unexpected illness or absence occur and coverage for that individual be required, the Management Officer should be notified immediately, and every effort will be made by the Management Office to assist with the problem.

\\6'.

V. FINANCIAL MANAGEMENT

This chapter, prepared by the Regional Controller's Office, provides basic practical information on financial management policies, processes and procedures. This chapter is organized as follows:

- Basic fiscal process, from budget appropriations to implementation actions
- Controller's role in project design and budget process
- Detailed policies and procedures for financial implementation actions
- Cash management and project advances
- Host government and local currency bank accounts
- Project Manager's administrative approval of project vouchers
- Controller's role in project evaluations and close-outs (Reserved)
- Administration of the Controller's Office.
  - Assignment of responsibilities
  - Service hours
  - Processing times
  - Detailed voucher processing procedures (Reserved)
  - Cash payments and Embassy Cashier (Reserved)

1. BASIC FISCAL PROCESS

(1) Appropriations

AID, like all Federal agencies, receives funds through Congressional appropriations. Appropriations provide funds for specific purposes or for specific geographic areas. In Senegal, all new AID funding is from the Sahel Development Program Appropriation, 72-11X1012. Appropriations do not provide AID with cash, but establish accounts in the U.S. Treasury.

There are some aspects of the Federal fiscal cycle that affect the activity of all Mission officers. The appropriations passed by Congress are Federal law and represent the absolute maximum that a Federal agency can spend. There are strict penalties for violations, that is, making expenditures in excess of appropriations.

The U.S. Treasury writes all AID checks and keeps cumulative record of all AID payments. The Treasury also receives a copy of the appropriation legislation and thus can readily determine if an agency exceeds its appropriated funds.

(2) Fiscal Year and Obligations

All U.S. Government agencies operate under budgets covering a fiscal year. The present fiscal year runs from October 1st to September 30th.

Agencies budget in terms of obligations. An obligation is an agreement between the U.S. Government and an other party. AID projects are obligated by Project or Grant Agreements signed by AID and the Host Government. The actual expenditures of funds usually takes place several years after the obligation. Thus, AID's budget is really a request for authority to enter into agreements with Host Governments up to the amount of the approved budget. Funds not obligated by the end of the fiscal year are withdrawn by AID/W.

In the case of such activities as PM&R (Project Management and Research), which are not covered by Host Government agreements, funds are obligated by individual implementation actions such as contracts, purchase orders, leases, etc.

AID funds for projects are normally obligated piecemeal or incrementally. Thus, while a project may have a total cost of $10 million U.S. dollars, only $2 million may be obligated in the first year of the project. The amount obligated the first year should be enough to cover all contracts, commodity procurements, and Host Government expenditures that will be required prior to the second project obligation.

(3) Allotments

The AID allotment system is designed to assure that AID does not spend more funds than are appropriated. Allotments are issued to each Mission by AID/W. The allotment is the maximum amount of Federal funds that the Mission can spend. The Mission Controller reports on the status of each allotment to AID/W each month. Thus AID/W can readily determine if Missions exceed their allotments.

There are two key principles in the mission allotment system.

First, no obligations can be incurred prior to receipt of an allotment. The advice of allotment is a government form which is approved by the Bureau and AID/W Controller's Office. Usually, AID/W will send a telegram once the advice of allotment is approved by all appropriate officials, and issued. Missions can then incur obligations based on the telegram. However, the telegram must say that the allotment has been issued. Telegrams that say the allotment is in process are not sufficient. The Mission must be positively informed that the allotment has been issued.

Second, the amount of funds expended for projects and programs cannot exceed the amount of the allotment. The Mission Controller is responsible for seeing that obligations are not incurred prior to the receipt of allotments and that Mission payments do not exceed the allotments. Other Mission personnel are responsible for clearing with the Controller all grant agreements, PIOs and other documents which committ funds. Officials who do not clear funding documents with the Controller will be held personally liable and subject to the financial and other penalties specified in Section 1311 of the Appropriations Act.

On at least on occasion, the Mission committed government funds and executed a grant agreement, prior to receipt of the allotment. The Mission received an official reprimand from AID/W. All grant agreements should be cleared by the Controller to prevent another such incident.

All implementing documents, such as PIOs and implementation letters, must be cleared with the Controller for fund availability. PIOs have a fund availability clearance block on the facesheet. There have been numerous occasions in which host government contracts were issued and approved without Controller clearance. All host government contracts should be cleared by the Mission Controller prior to Mission approval.

(4) Overview of Implementation Actions

Project Grant Agreements obligate project funds. The Controller records the obligation and establishes an account for the project grant. It is AID policy that all bilateral projects are joint projects with the host government. Therefore, prior to the disbursement of any project funds it is necessary that the Controller's Office receive an implementation action signed by the host government.

For grants, AID normally utilizes the funds by requesting the local Treasury representative to issue checks payable to the individual or firm that provided goos or services under an approved AID program or project. Sometimes, AID uses a U.S. bank or local development bank to make payments to such individuals or firms. AID then reimburses the bank periodically for all payments made on its behalf.

The following are the most frequently used forms of implementation actions:

- Project Implementation Order for Technical Services (PIO/T)
- Project Implementation Order for Commodities (PIO/C)
- Project Implementation Order for Participants (PIO/P)
- Implementation Letters

It is recommended that once a Grant Agreement is signed, the technical office arrange a meeting with the Controller's Office to discuss the implementation actions to be issued. If implementation will require considerable miscellaneous direct local procurement, it is recommended that an implementation letter with a budget for the procurement be prepared and approved by the host government.

2. CONTROLLER'S ROLE IN PROJECT DESIGN AND BUDGET PROCESS

(1) Project Design

There is no fixed Mission policy on the Controller's participation in project design. Project design officers, economists or other members of the design team often possess most or all of the necessary financial skills to complete the financial section of the Project Identification Document or Project Paper. However, it is recommended that the design team consult with the Controller's Office regarding the completion of financial sections of PIDs and PPs. The following are the types of design tasks that require financial or accounting skills:

- Budget Preparation -- Controller personnel can apply their knowledge of various cost factors as a result of their participation in the payment process.
- Cost-Benefit Analysis -- Cost-benefit analysis is best performed when economists and accountants are involved to determine costs and amortize cost over the life of the project.
- Profitability and Cash Flow Statements for Project Participants -- A professional accountant should be employed to perform profitability and cash flow projections on projects that have commercial implications, such as small farmer projects.
- Institutional Analysis of Host Country Institutions -- The project designs typically define roles for host country institutions, such as ministries, regional development agencies and cooperatives. An analysis should be made of these institutions' financial and other management capabilities. If the institutions are found to be lacking in these capabilities, then the design should include outside assistance in order to strengthen the capability of these organizations or to compensate for shortcommings. Financial or accounting personnel are best equipped to evaluate an institution's financial management capabilities.

(2) Mission Budget Process

Agency policy requires that the Mission Controller review all financial budget tables. The Controller is required to submit separate budget tables directly to the AID/W Controller for the purpose of financial tracking. These tables should be consistent with the Mission's ABS. Therefore, it is essential that all project budget tables on historical and projected obligations which are included in the ABS be cleared with the Mission Controller.

3. DETAILED POLICIES AND PROCEDURES FOR FINANCIAL IMPLEMENTATION ACTIONS

Grant agreements obligate funds for AID projects. Budgets in the grant agreements are illustrative and do not normally indicate who is doing the implementation. Therefore, it is USAID/Senegal policy that prior to the disbursement of any funds, an implementation action must be prepared and signed by both AID and the host government.

The following are the most frequently used implementation actions:

1. PIO/Ts
2. PIO/cs
3. PIO/Ps
4. Implementation Letters

Chapter III of this manual describes Mission procedures for preparation of the above documents. AID Handbooks provide more detailed explanations on the completion of PIOs.

USAID/Senegal uses two types of financial implementation letters. One is for disbursements which will be made by the host government through local bank accounts. The second is for miscellaneous direct procurement by AID. Section 5 of this chapter describes the general requirements of host country bank accounts. Exhibit V-1 presents an example of an English version of an implementation letter for a host government bank account. The French version is available in the Controller's office. Project Managers are encouraged to work with the Controller's office as soon as the grant agreement is signed on projects that utilize host country bank accounts.

On AID direct procurement and contracts PIOs are normally the implementing documents. The PIO facesheet provides blocks for both AID and Government of Senegal approval. Frequently, AID makes a variety

EXHIBIT V-1
Sample Financial Implementation Letter
For Disbursement Through Host Country
Bank Account

USAID/Senegal
c/o American Embassy
P.O. Box 49
Dakar, Senegal

Date:

Mr.

Subject: Implementation Letter No.
Project

Dear

The purpose of this letter is to set forth procedures for receiving advances and reporting disbursements for AID project funds being disbursed by ________________.

It will be necessary to open a separate bank account. Only AID funds should be placed in this account. AID funds should not be comingled with GOS or other donor funds. ________________ should designate an accountant and a check signer. These should be two separate individuals. An accounting system for disbursing funds, filing invoices and recording payments should be established. If you need assistance on this matter please let me know.

AID should be notified in writing of the bank and account number as soon as a bank account has been opened. AID should also be notified of the name and position of the check signer and accountant.

A copy of the budget for AID funds to be disbursed by ________________ is attached. Please indicate your approval of the budget and procedures in this letter by signing and returning the original of this letter. A copy of the letter is enclosed for your files.

An initial advance will be sent to you after you have fulfilled the conditions of this letter. My staff will be working with you to determine the amount of the advance. The maximum advance we are permitted to make in accordance with U.S. regulations is to cover your expenditures for a period of 90 days.

Records shall be maintained in accordance with sound accounting procedures adequate to show the receipt and disbursements of funds and the receipt of goods and services acquired. At a minimum, a check register should be maintained that shows the issuance of checks in numerical and chronological order, the names of the payee, a basic description and a distribution to one or more of the budget categories shown in the budget.

Based on these records, and no less than quarterly (ending March, June, September and December), we request that you report disbursements made, according to the following format:

(a) Financial Report as shown in attachment A which provides budget, current disbursement and cumulative disbursement plus a certification by you and your chief financial officer,

(b) Bank Reconciliation as shown in attachment B which reconciles the difference between your records and the bank's records,

(c) SF-1034, a voucher form used by the U.S. Government to facilitate payment. This is to be completed as shown in attachment.

(d) A copy of the bank statement

Subsequent reimbursements to this account will be made based on the submission of the above three documents.

Sincerely,

Mr. David Shear
USAID/Senegal

Approved:________________
(NAME & TITLE)

Date:

174

EXHIBIT V-1(3)

BUDGET
PROJECT

BUDGET CATEGORY	CFA	DOLLARS
Personnel	2,000,000	10,000
Equipment	3,000,000	15,000
Construction	2,000,000	10,000
Operating Costs	1,000,000	5,000
TOTAL	8,000,000	40,000

FINANCIAL STATUS REPORT

PROJECT AID 685-

FROM______________ TO______________

BUDGET CATEGORIES	BUDGET CATEGORY DOLLARS	BUDGET CATEGORY FRS CFA	DISBURSEMENTS FOR THIS PERIOD	CUMULATIVE DISBURSEMENTS
PROJECTED TOTAL	________	________		

We hereby certify that the amount claimed was disbursed in accordance with the terms of the grant agreement within the prescribed items duly authorized, that the amounts advanced were not used for other purposes, that the supporting documents of all the payments are at the disposal of the USAID for further verification when necessary.

EXHIBIT V-1(5)

ATTACHMENT B

PROJECT AID NO. 685-0928

SUMMARY OF ACCOUNTS DATE____________

I. ADVANCES RECEIVED

DATE	CFA	____________
DATE		____________
DATE		____________
TOTAL		____________

II. DISBURSEMENTS

PRIOR DISBURSEMENTS	____________
DISBURSEMENTS FOR THIS PERIOD	____________
TOTAL DISBURSEMENTS	____________
BALANCE ACCORDING TO BOOKS	____________

III. RECONCILIATION

BALANCE ACCORDING TO BANK	____________
PLUS DEPOSITS TO TRANSIT	____________
LESS OUTSTANDING CHECKS ADJUSTED BANK	____________
BANK BALANCE PER BOOK	____________

of small local procurements for which it is not very practical to issue separate PIO/Cs for each procurement.

In these cases Project Managers are encouraged to work with the Controller's Office in drafting an implementation letter which authorizes direct AID procurement. Examples of items of this nature are:

- Gasoline
- Photographs
- Invitational travel
- Meetings
- Vehicle repairs
- Miscellaneous supplies

Project Managers are encouraged to consider the need for small local procurement for each project. Even if such procurement is not definite, it is advisable to draft an implementation letter which authorizes AID to do a small amount of direct procurement. A letter which earmarks a small amount of funds for unforeseen procurement at the outset of the project will avoid implementation delays during the project. Exhibit V-2 is an English version of an implementation letter that authorizes direct procurement by AID. The French version is available in the Controller's Office.

EXHIBIT V-2
Sample Implementation
Letter for Direct Procurement
By AID

USAID/Senegal
c/o American Embassy
P.O. Box 49
Dakar, Senegal

Subject: Implementation Letter No.
Project

Dear Mr.

The purpose of this implementation letter is to authorize AID to procure directly for the joint USAID/Government of Senegal Project NO. items in accordance with the attached budget. The total amount of such procurement will not exceed $ without your approval. Please indicate your approval of this procurement by signing and returning the original of this letter. A copy of the letter is enclosed for your files.

David Shear
Director
USAID/Senegal

Approved:

____
(NAME & TITLE)

EXHIBIT V-2(2)

BUDGET FOR DIRECT USAID TRANSACTIONS

		CFA	DOLLARS
1)	Materials for wells construction	274,913	1,500
2)	Materials	99,900	500
3)	Salaries for well-diggers	84,500	400
4)	Plastic Materials	1,121,250	5,600
5)	Office Equipment	2,500,000	12,500
6)	Gasoline for months	4,008,442	20,000
7)	Jerrycans	1,000,000	5,000
	Miscellaneous Materials (installations, telephones, vehicles assurance	1,000,000	5,000
	TOTAL.....	$10,089,000	$50,500

4. CASH MANAGEMENT AND PROJECT ADVANCES

AID Policy guidelines and the procedures described below are applicble to U.S. Dollars and foreign currencies available to or held by or for the credit of AID to finance programs, operations and activities, regardless of how implemented, except where precluded by law or waived by the Administrator, the Deputy Administrator of the AID Controller.

(1) Billings and Collections

Bills for collection must be issued to individuals and organizations at the earliest possible date by which amounts due AID can be identified, approved and properly charged. Past due receivables will be given priority attention in accordance with HB 19, Chapter 7.

(2) Deposits

Offices responsible for deposting receipts shall assure that all receipts are deposited promptly and not be delayed pending processing of related documents.

(3) Disbursements

Government obligations must be paid in a timely manner and to the extent possible to take advantage of cash discounts by suppliers.

(4) Cash Advances

U.S. Treasury regulations state that "it is the responsibility of Agencies to monitor the cash management practices of their recipient organizations to insure that federal cash is not maintained by them in excess of immediate disbursing needs."

AID policy favors payment to AID financed recipients on the basis of goods delivered or services performed, or, to cover costs already incurred by the recepient. An exception to this policy is made for non-profit organizations and Host Country governmental

181

institutions, which are normally funded on an advance-of-funds basis. In such case, the USAID will establish systems and procedures to assure that balances are maintained commensurate with immediate disbursement needs. Excess balances will be promptly returned to the Treasury.

Advances are generally defined as payments made before delivery of goods and services. Progress payments made upon the completion of work are not advances unless made in anticipation of future costs to be incurred by the recipient..

"Immediate Disbursement Needs" may be assumed to be cash requirements for as much as thirty (30) days from the date the recipient receives the advance until it is expended. When successive advances are made, it may be necessary to provide an initial advance of somewhat more than 30 days to permit timely processing and disbursement of successive monthly payments. The period of the advance may extend for as long as 90 days in unusual instances when the USAID has established that project implementation will be interrupted or impeded by applying more restrictive guidelines. Judgment will be applied by the USAID Controller, the Contracting Officer (USAID Management Officer) and others in determining the immediate disbursement needs of specific recipients.

Due to the turnaround time and the time required to process vouchers through both the Senegalese and U.S. governments, it has been the policy of USAID/Senegal to consider requests for 90-day advances by Host Government institutions. If the request for advance exceeds $100,000, the USAID Controller normally divides the advance into two or more payments, with the second advance made 30 or 45 days after the first. The purpose of dividing the advance, is to reduce the interest costs of the U.S. government. Under this procedure, the second or third advance is given automatically without any accounting of the first advance.

All advance requests should be reviewed carefully by USAID/Senegal Project Managers to assure that they reflect realistic cash needs of the host country institution. On a few occasions, the 90-day advance was not spent for more than one year. This causes the U.S. Treasury to incur unnecessary interest costs and reflects poorly on USAID/Senegal's management. If large advances are given and the project is delayed for any reason, the host government organization should be asked to return the advance. It is the Project Officer's responsibility to see that the host government organization reports to AID on the status of advances. Expenditure reports should be sent to AID at least every three months. If the reports are not received, the Project Manager should contact the organization and request the report. The Controller will not give host government organizations further advances if they do not complete reports on the expenditure and the status of previous advances.

Advance payments to profit-making organizations should be authorized only if no other means of adequate financing is available to the contractor (HB 1, Ch. 15, Supplement B). Advances under direct AID contracts to profit-making organizations <u>must</u> be authorized by AA/SER.

AID policy has been somewhat less restrictive with respect to host country (B/G) contracts. Advance or progress payments may be agreed upon under host country contracts when such payments are necessary for delivery or performance (See HB 1, Chapter 15, Supp. B).

In order to qualify for advances, organizations must submit plans for the use and timing of advances. Recipient organizations are required to report regularly on the use of advances and must demonstrate through such reports that balances of advances are maintained in amounts commensurate with immediate disbursing needs, that excess balances are promptly returned to AID, and that interest earned on advances of AID funds has been remitted to AID. (<u>Note</u>: The same cash management policies applicable to dollar disbursements are also applicable to foreign currency disbursements).

187

5. HOST GOVERNMENT AND LOCAL CURRENCY BANK ACCOUNTS

One method used by USAID/Senegal to finance local currency costs is to request the host government to administer the funds, pay bills, maintain accountability and make financial reports. AID makes periodic advances to the host government institution for this purpose. This method is especially applicable when there are many small local currency expenditures made at the project site. Expenditures in this category include local salaries, gasoline and utility bills.

When this method of reimbursement is used, AID insists that the host government open a separate bank account for the AID project. AID funds cannot be co-mingled with the funds any host government agency or those of any other donor. The following are the major steps to be followed by the host government where local accounts are used:

- Jointly approve with AID a budget for funds to be disbursed through the account.
- Designate a check signer for the account. (At least one of the check signers must be a host government official. An AID direct hire or contract employee cannot be the only signer on any check.)
- Designate an accountant to perform all accountability functions.
- Open a bank account.
- Establish accounting ledgers and a system to account for AID funds and file supporting invoices.
- Inform AID when steps 1 through 5 have been taken.

When considering the use of host government bank accounts, the following points should be considered by AID Project Managers.

First, the appropriateness and use of the account should be discussed with the Controller's Office as soon as it is determined that a bank account is a desirable option. There are certain types of local currency payments that are better made directly by AID. The Controller recommends that all large contract payments be made directly to the contractor, rather than through a Host Government

184

bank account. Also, there are some Senegalese procedures which make it difficult for the GOS to make certain types of payments.

Second, experience has shown that at times the Government of Senegal takes considerable time in opening the accounts. It also may be difficult to determine which ministry or organization will control the account and who will sign the checks. Therefore, it is important to approach the GOS as soon as possible. It is recommended that Project Managers consult with the Controller before contacting the government.

Third, it is important that the GOS designate an accountant. There have been a number of projects where this was not done. The chief of service or other senior official wrote checks without recording them. The result was that no one knew how much money was in the bank, and the organization could not account for the expenditure of AID funds. This resulted in project delays.

Fourth, it is the Project Manager's responsiblity to review advance requests to ensure that they reflect reasonble cash needs of the organization. Experience has shown that a recipient organization may occasionally request an amount in excess of needs.

Fifth, it is the Project Manager's responsibility to see that the host government submits expenditure reports to AID no less frequently than every three months.

Lastly, funds to be disbursed through local bank accounts are earmarked by financial implementation letters which are prepared by AID and approved by the host government. Normally, the Project Manager prepares the letter after consulting with the Controller.

6. PROJECT MANAGER'S ADMINISTRATIVE APPROVAL OF VOUCHERS

An essential feature of the AID system of contract management is the requirement for administrative approval by the Project Manager of vouchers and supporting documentation submitted for payment. This administrative approval, in the form of a prescribed certification, supplements the normal U.S. government requirement for the financial certification of all payment vouchers by an authorized certifying officer.

The Project Manager is the AID official who is best and most currently informed concerning the progress, problems, and accomplishments of the contractors. Consequently, he/she is the logical choice to acknowledge that the services and/or commodities covered by vouchers have, in fact, been satisfactority delivered. Therefore, any request for payment requires approval by the Project Manager to assure that AID's interests are adequately protected. In addition, the requirement for such approval becomes a useful means for the Project Manager to obtain remedial action in any case where significant deficiences in performance become known.

The purpose of the Project Manager's approval of vouchers is to assure that goods and services have been received. The Project Manager is not responsible for any of the following in approving project payments:

- Mathematical accuracy of the voucher including extensions and additions of vouchers and supporting schedules.
- Rates used on voucher.
- Assuring that any required receipts are attached to the voucher.
- Reviewing any records of the payee to determine that amounts claimed agree with the records of the contractor or grantee.

186

7. CONTROLLER'S ROLE IN PROJECT EVALUATION AND CLOSE-OUTS (Reserved)

8. ADMINISTRATION OF THE CONTROLLER'S OFFICE

(1) Assignment of Responsibilities

In order to provide a clear picture of responsibilities of the duties within the Controller's Office and develop greater specialization, responsibilities for financial servicing of projects are assigned to individuals. The list on the following page designates the responsibility for servicing all projects and programs among Ed Ringoot, Wayne Butler and Ray King. The Controller personnel assigned responsibility for servicing projects will also have responsibility for handling the administrative matters of the individuals working on the project. Thus, personnel in The Gambia will take their project, as well as such personnel-related financial matters as pay and travel, to Ed Ringoot. Employees in OMVS should go to Wayne Butler for all their financial assistance. USAID/Senegal Livestock direct hires and contractors should see Ray King for financial assistance on projects as well as any financial administrative matters.

(2) Service Hours

The work schedule for the Controller's Office:

Hours	
10:15 - 12:30 14:30 - 17:00	OPEN FOR FULL SERVICES (Walk-in and phone inquiries)
8:00 - 10:15 17:00 - 18:00 Saturdays and Holidays	CLOSED TO ALL NON-CONTROLLER PERSONNEL (Walk-in and phone inquiries)

In closing hours to non-Controller personnel, the intent is to permit processing of priority payments, reports, and other such priority items. This meets the needs of AID/W, and the various AID Missions which the Office also serves, in an efficient and orderly manner.

(3) Controller Processing Times Required for Payment Documents

Several factors affect the time it takes to execute payments. The basic process involves the following steps:

- Invoice or bill received and approved by receiving office and sent to Controller's Office
- Bill reviewed by voucher examination unit. Fiscal data put on bill and fund availability confirmed.
- Bill sent to scheduler who types a schedule with all pertinent data for check issuance.
- Schedule approved by an AID certifying officer.
- Schedule separated and original transmitted to the Regional Finance Center (RFC) in Paris, France.
- Schedule received by RFC, check issued and mailed to addressee. Embassy cashier makes distribution of the check.

The "turn-around" time from the date the Controller completes his review, certifies and mails the schedule, to the date the check is received at the Embassy in Dakar, is 10 to 12 days. This period is mostly mailing time, as the RFC in Paris normally executes the check the same day the schedule is received. When the Controller and Mission processing times are added to the turn-around time at the RFC, the total time required to execute a check payment is about three weeks. There are a number of other factors which affect the voucher payment process. Some of these factors are: local and American holidays, weekends, quarterly, and annual closing of the Controller's fiscal records.

The following are considered normal processing times for various types of payments:

EXHIBIT V-3
Controller Personnel Responsible
for Financial Servicing

Project Or Program	
All Gambia Projects and Programs	Ed Ringoot
All Guinea Bissau Projects and Programs	Ed Ringoot
All Cape Verde Projects and Programs	Ed Ringoot
Senegal OE Budget Preparation Office of Mission Director and Management Office	Wayne Butler
0205 Casamance Development	Wayne Butler
0210 Rural Health Service	Wayne Butler
0217 Family Health Services	Wayne Butler
PM&R (all PDO) Personnel	Wayne Butler
Self Help	Wayne Butler
AMDP	Wayne Butler
SMDP	Wayne Butler
PL 480 and Projects Financed from Title III Generated Local Currency	Wayne Butler
All OMVS Projects	Wayne Butler
0916 and 0928 All Regional Crop Protection	Wayne Butler
0201 Cereals Production I	Raymond King
0202 Range and Livestock Bakel	Raymond King
0208 Irrigated Perimeters	Raymond King
0209 Grain Storage	Raymond King
0218 SAED Training	Raymond King
0219 Fuelwood Production	Raymond King
0224 SODESP Livestock	Raymond King
0226 Patte D'Oie	Raymond King
0235 Cereals Production II	Raymond King
R&R and AIP Projects (All Program Office Personnel) and OPGS	Raymond King
937.7 Renewable Energy	Raymond King

Payment Type	Estimated Processing Time
Contractor and other salary payments, Large advances and payments to Host Government institutions Implementing AID financed projects Participant Advances	3 weeks
Vendor invoices and purchase orders	4 weeks
Travel vouchers	6 weeks

These times represent the time elapsed from the date the voucher is received in the Controller's Office until the payee receives the check. Payees and recipients of AID payments are encouraged not to inquire about the status of payments unless the above time has elapsed. It should also be noted that travelers are encouraged to take travel advances so they are not adversely affected by the processing of travel vouchers.

(4) Controller Times for Processing of PIOs, Grants, Contract, Travel Orders, and Implementation Letters

Two days should be allowed for Controller clearance on all the above documents, The documents should be brought to the in box on the desk of the Controller's secretary, or sent through the USAID inter-office mail.

(5) Detailed Voucher Processing Procedures

(Reserved)

(6) Cash Payments and Embassy Cashier

(Reserved)

191