

April 20, 1966

ACTION MEMORANDUM FOR THE ADMINISTRATOR

THROUGH: ZCSMC

FROM: Bartlett Harvey, A/AID

PD-ABI 014
ISN = 88620

Problem: One of the Information Systems Task Force committees, chaired by Dick Hough of FC, has come up with a set of ideas for improving the technical assistance programming and monitoring systems. This is now ready for discussion with, and acceptance or rejection by you and the Executive Staff of the Agency. We need a decision as a basis for the follow-on work of preparing the necessary instructional material this spring.

Discussion: The attached paper presents in summary form ideas for improving and simplifying the technical assistance programming process, including the proposal that Part II of the CAP no longer be required, starting this year. This set of ideas has been discussed with FC and the heads of the program, institutional development, and capital offices of the four Regions, as well as TCR and DPTZ, and has their general concurrence. They have not seen the attached paper. The initial idea for abandoning Part II of the CAP was put forward by Ed Hutchinson in the USA when setting up this task force.

I don't know of any opposition in principle to the changes proposed, but they are sufficiently far-reaching in their operational and policy implications that I believe they should be discussed with the Executive Staff and have their general agreement as well as yours. This should be done as quickly as possible, so that we can notify the field missions immediately of the impending change and have a solid basis for investing the short time needed for the preparation of implementing forms and instructional material.

Since I am due to leave for a week or so in Nigeria as soon as feasible, to help them get started on the pilot test of the SAPER project monitoring reports, I am very eager to get your views on this proposal. I have arranged with Miss Tracey to reserve the latter part of Monday morning for Executive Staff discussion of the attached paper, since that seems to be the only feasible time in the next ten days.

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Recommendation: That you authorize immediate dissemination of this paper as the basis for Executive Order, effective Monday morning, April 25.

Approved: _____
Disseminated: _____
Date: _____

Survey:contA/AID

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DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D. C. 20523

OFFICE OF
THE ADMINISTRATOR

March 9, 1966

MEMORANDUM FOR A.I.D. PROFESSIONAL STAFF

SUBJECT: A.I.D. Information Systems Task Force

A number of recommendations are currently before the Agency for the improvement of its information gathering, recording, and use.

I am asking Bartlett Harvey, Special Assistant to the Administrator, to chair an A.I.D. Information Systems Task Force to bring these questions into focus for Agency decision. Specifically, the Task Force is to:

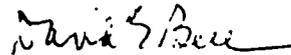
- a. Review and determine appropriate action on the recommendations of Dunlap Associates on Technical Assistance information, of Booz-Allen-Hamilton on reporting to top management, and of the information aspects of Colonel Lincoln's report on evaluation;
- b. Further review A.I.D. information systems for program and operations planning, approval, control and evaluation and recommend improvements for testing or adoption;
- c. Propose such changes in function and organization as appear appropriate on the basis of review of the Agency's information needs and systems.

The Task Force is to reach whatever definitive results are feasible within the six months ending August 31 and recommend appropriate assignment of responsibility for remaining needs in its area of concern.

Recommendations of the Task Force which cannot be implemented through normal staff clearance procedures will be presented by the chairman to the Operations Review Committee or to me for decision.

Besides Mr. Harvey, the Task Force will consist of Mr. Harry Fite, Mrs. Kay Shorter, Mr. David Mayer, consultants as appropriate, and on a part-time basis other A.I.D. officers designated by the chairman, with the agreement of the office concerned, as chairmen and members of sub-groups. Each Bureau and office will notify Mr. Harvey of the name of an officer to serve as general liaison with the Task Force. A/MP will provide secretariat services for the Task Force.

This is a very important project which I recognize must be crowded into an already full schedule. I shall expect all Agency officers to cooperate with the Task Force in pursuit of our common interest in systems improvement.



David E. Bell

DISTRIBUTION:

AID List H, Position 8

AID List B-1, Position 8

ES/RD-45

EXECUTIVE STAFF MEETING, April 25, 1966

SUBJECT: Proposed Change in the A.I.D. Country Programming System

The Executive Staff Meeting was called to discuss a proposed change in the A.I.D. country programming system suggested by the A.I.D. Information Systems Task Force, Committee No. 5. The proposal was summarized by Mr. Bartlett Harvey -- the task force director -- as follows:

That A.I.D. move toward a modified technical assistance and food donation programming and monitoring system in which Part II of the CAP and the E-1s would be "dismantled" i.e., would be replaced by:

1. sector or goal plan summaries in Part I of the CAP or the equivalent;
2. project papers, analogous to present loan papers in their ad hoc timing and their focus on the full scope, length and work plan of the project, to serve as the basis for project authorization and agreement, subject to the availability of annual funding;
3. systematic project progress reporting (possibly by means of the experimental TAPER* system which is being tested in several missions) outside of and more frequently than required by the budget cycle;
4. simple, spread-sheet submissions presenting project cost estimates by component, pipeline analysis and manning tables, for the operational and budget years;
5. continued use of the "Congressional Program and Project Data" books supplemented by other reports as needed, as a summary reference on current projects for offices with collateral concerns.

Discussion revealed that these proposals probably did not entail as radical departure from current practices as appeared on the surface due to the continuing necessity of providing periodic information for budget and Congressional presentation purposes. However, it was generally agreed that moves in the direction proposed promise some improvement in quality and reduction in workload and that the proposals should be tried.

* Technical Assistance Project Evaluation Report

The Administrator directed that the Task Force proceed with the preparation and clearance of a message to the field instituting appropriate modifications in the programming system for the FY 68 submission.

In the discussion of the Task Force's proposals, the following were the major items of interest:

1. Project Definition

There was considerable discussion and differing views expressed about the appropriate scope or definition of "project" for programming and management purposes. It is clear that there is a dimension which needs further resolution between the "clustering" of activities which is appropriate for planning and the separation of activities into the units of responsibility which is appropriate for management purposes.

2. Progress Reporting

There was general agreement as to the importance of improved, systematic project progress reporting, but no decisions were reached on questions of format, frequency and content of an appropriate monitoring system.

3. Planning

Mr. Bell indicated that he expected country programs submitted at budget time to include fairly firm expressions of the actual projects which would be carried out during the budget year. He added that while understanding the need for flexibility to meet changing situations, he felt that the addition of new projects during the budget year should take place only under limited and fully justifiable circumstances. In this context, a question was raised on the amount of detail that would be required on new projects with the budget submission. A suggestion was made that an "Intensive Review Request" -- similar to that used on capital projects -- be adapted to technical assistance projects. This "TA-IRR" would provide sufficient detail on new projects at the budget submission to be followed by a full "Project Paper" at a later date. Mr. Bell asked Mr. Harvey to develop this idea further in his work on the new system.

4. Reduction in Paperwork

In addition to improving project planning and reporting, one purpose of the proposal made by the Task Force is to reduce mission paperwork. "Project Papers" on new projects, which will remain valid

until changed, will substitute for the E-1 narrative currently required annually on continuing as well as new projects. Mr. Bell, in discussing this point, indicated full agreement with these objectives but cautioned against overselling this idea since the first transitional year might entail more rather than less work developing work plans for continuing activities.


Frederic L. Chapin
Executive Secretary

Distribution:

EXSEC Daily Logs
Mission Directors
Executive Staff
A.I.D. Representatives

March 8, 1966

MEMORANDUM TO: Sub-Group Chairmen, AID Information Systems Task Force

It is highly desirable that for purposes of coordination and moving our joint enterprise along, we meet together frequently and regularly. I would like to suggest that we do this at 4:30 p.m. Monday afternoons in my office, Room 5899 NS.

I would appreciate your letting me know, extension 8070, whether it will be convenient for you to meet this Monday, at which time we can discuss whether there is a better time for the convenience of all of us.

Prior to next Monday's meeting I will try to have circulated to you, for discussion at the meeting, revised and updated statements of committee scope of assignment and a brief overall statement on the objectives of the Task Force.

Dartlett Harvey
Special Assistant

DHarvey/asm:A/AID:3/8/66

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Internal Process

	TA Now	TA FY67 Transition	TA Proposed
Long Range Plan	Sector aspect of CAP I/LAS	9 Country Program memo and sector plans	5 year Goal/Sector Spring Plan
Intermediate Plan (BY)	annual Goal Plan annual E-1	1) For most projects use FY 1967 E-1 plus Mission draft of shadow book sheets. 2) For designated ongoing and new projects new full multi-yr.E-1. 3) Simple funding needs submission to cover annual needs of (1) and level for (2)	Reconnaissance & study of proposed projects Planning O.K.
Close Plan (OY)			Life of project, joint, scope & schedule proposal/plan
Approval for Implementation	IAD	"routine" IAD for \pm 3/4 ongoing projects. Interim IAD for others pending depth review and life of project approval	Whole project authorization in principle (at any time)
Agreement	ProAg	old ProAg for routine. New ProAg for new and reviewed 1/4	Life of project agreement (subject to funds)?
Implementing Order	Contract,PIO, SPAR	Same	Same - shift toward letters of implementation
Executing Agent	about $\frac{1}{2}$ direct AID, $\frac{1}{2}$ AID contractor	Same	Same - shift toward B/G contract ad hoc
Progress Reports	U-203 & 204, oblig.& expend. by component Direct Hire personnel monthly Contractor reports	Same test TAPER	Same TAPER
Evaluation	annual review 3 year History some research	BEST AVAILABLE DOCUMENT	3 year depth review more research

3/26/66

Budgetary Aspect

Capital	TA	Capital
	Agreement on general and level	direction
Reconnaissance List of potential projects Feasibility survey IRR "Loan paper"	Provision for (1) one year oblig. need of ongoing activity (2) start of new elements of sector plans. OYB reflects Regional costing of ongoing, review of changes, allowance for new	Provision for level of anticipated new approvals OYB open to loan papers in the mill.
"Loan authorization" (at any time) Formal life of project, whole-cost obligation	Obligations reflect neither obligations nor agreement nor implementation but a mixture. Shift to implementation?	Set aside full cost - Obligate multi-year cost.
Factors of implementation		
Borrower Contractor		
- total only ad hoc Contractor reports	Expenditures do not systematically and usefully reflect execution.	

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6. Management

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USAID

April	-	Prepare background & strategy for budget year (Part I, excluding C tables) and PPBS, (including general description new projects proposed for B.Y.) Includes Technical Assistance Summary for upcoming O.Y.	April
May	-	Submit above to AID/W	May
June	-	Forward Quarterly Progress Reports	June
July	-		July
August	-	Preparation of BY budgets; Technical Assistance Summary for Budget Year.	August
September	-	Submit above and revised face sheets of Work Plan, Quarterly Progress Reports, some description of loan program, and pipeline analysis, some description local currency program. Also, work plan & covering narrative for <u>new</u> projects	September
October	-		October
November	-		November
December	-	Submit Congressional Presentation, Tables I, II, III, and IV; along with Quarterly Progress Report.	December
January	-		January
February	-		February
March	-	Submission Quarterly Progress Report	March

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Note: TC project work plans serve purpose of former E-1 (general description of Project), Pro Ag (bilateral agreement) and CAP part II.

Note: A
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AYD/W

Begin review background & strategy Part
I. Prepare Program Memorandum for EOB.

Review Technical Assistance Summary for
upcoming O.Y. in conjunction with
Quarterly Progress Report.

Put out B.Y. funding guidelines. Resol.
with field any questions raised from TA
summaries which need be resolved before
allotment of O.Y. TC funds. Allot for
implementation.

Continue ~~dialogue~~ with EOB on BY magni-
tudes.

Resolution of major budget issues.

Submission of detailed budget to bill
and EOB.

Transmitted final guidelines to field o.
preparation of congression presentation

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w:IA will review loan implementation on the basis
monthly submitted loan Progress Report and quar-
ly submitted Work Progress Report for TC projects

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June 28, 1966

MEMORANDUM FOR: Mr. Richard Hough, PD/EP
Mr. Barbara Turner, TCR/EPCE
Mr. Alfred White, NECA/EP
Mr. Solomon Silver, PD/EP
Mr. Carroll Young, AFR/EP
Mr. Robert Richardson, LA/EP
Mr. John A. White, A/EP
Mr. J. E. Rogers, A/EP

SUBJECT: Technical Assistance System

FROM: Barbara Harvey, A/AD. *BH*

Attached for your clearance is the fourth and hopefully final draft of the "think piece" on modification of the QA programming and monitoring system that has been discussed in the Staff and elsewhere over the past two months. Draft discussions from the field dated May 27 are

1. A rewritten Introduction
2. Considerable editorial cleanup in line with previous comments.
3. Transformation of section VII, Transition, in the light of AFR/EPCE A-27, from a prescription for this draft's submission into a general remark about our future prospects for its planning guidance.

I will be away July 1-6 and would like to drop this in the mail before I go. Could I have your telephone clearance or marked copy for early Thursday morning?

Attachments

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AIRTO CIRCULAR A-_____

FROM: AIC/Washington

SUBJ: Changes in Technical Assistance Programming, Implementation Planning and Monitoring

REFERENCES: AIC/Circ A-261, A-277, A-188, AA-938

A. Introduction and Summary

A. This is the first in a series of messages on proposed modifications of the technical assistance management system. The first was AIRTO CIRC A-261 on the project as a unit of management. The second was AIRTO CIRC A-277 on Part I OAR requirements for this fall. This is the major "think piece" on a revised concept of TA programming and management, to be followed by subsequent implementing messages.

This is not an action message. It is a preview of a direction of change now planned to be carried out over the coming year. Your comments are invited. Since we are proceeding this summer with the development of guidance and forms needed for implementation of these ideas, the sooner we have your comments the greater will be their impact on the results. Subsequent messages will present implementing elements for further reaction.

B. The current trend in government program management thinking is to separate from each other, in different documents, the different levels or stages of program consideration, even though they relate to the same phenomena. This is true of the Planning Programming Budgeting

system sponsored by the SSB, in which the systematic long-range assessment of objectives and of alternative strategic approaches takes place in the spring; the depth analysis of major problem areas and the development of specific program proposals are both ad hoc; the detailed budget costing is in the fall; and management and monitoring responsibility is decentralized with enough operational feedback to nourish planning. That is the kind of system we are trying to develop for AID. With special reference to Technical Assistance and Food aid projects, that is the kind of system structure which we would like to "replace" Part II of the CAP.

Our tendency has been to group the several levels of project planning and some progress reporting as was required into the annual Country Assistance Program submission - a vehicle designed primarily for AID/W to control and limit, of limited Mission activity and great additional Mission effort, and as result, both too cumbersome and too limited to accomplish effectively many of its purposes. The effort now is to focus more on the planning and monitoring needed by the Mission Director while preserving enough commonality of form to serve AID/W needs as well.

There is a tension between the uniqueness of each country and project situation and tradition on the one hand, and on the other requirements for uniformity stemming from service to a single President and Administrator and the necessity to provide detailed, self-consistent information on agency programs and operations to outside audiences.

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often in terms which cut across geographic and organizational lines. AID/W cannot leave you entirely alone to design your programming and monitoring systems to suit your local convenience. We can, however, work together to design systems which in fact serve your needs and which will throw off information, as copies of documents you in fact use or easy abstracts thereof, which will serve AID/W needs.

After considerable action, including discussion with Mission personnel, we have developed a set of proposals for modification of the current system which appears to promise greater usefulness for Mission management, reduction in duplication of Mission effort, improved timing in the provision of necessary information to Washington, and thus improved quality.

2. In brief, the proposition is to substitute for the traditional extended project narratives in Part I of the CAP a set of technical assistance and "food and papers" consisting of:

1. Analytical Report and good plan summaries as elements of the country assistance program submitted in the spring as parts of the country program memorandum.

2. Project papers to be presented whenever project preparation is ready, focused on the full scope, length and objectives of the project, analytical in content, and covering the character and magnitude of inputs necessary from the country, other donors, and AID to achieve the given objectives. The project paper would serve as the basis for a

² Includes all project activities other than capital projects, including Food for Peace donations and local currency projects as well as TC and SA financed projects.

brief authorization to proceed and to reach an inter-governmental understanding on the scope, magnitude and targets of the activity. The understanding would be non-obligating, subject to the availability of annual funding.

2. When major projects are in the early stages of consideration, there may frequently be need for a brief preliminary paper assessing the problem and targets and probable magnitude of effort to serve as the basis for budget provision and provision of detailed study needed for project development. This would be followed at the appropriate time with a fuller analytical plan and justification which would serve as a basis for the above authorization and joint understanding and for commitment of initial funding.

3. Project implementation plans prepared and approved in the field, to the extent feasible jointly with the cooperating agency, scheduling through time the steps or major component actions of all kinds needed to reach the project goals. ^{These} Plans would be supported by schedules of the Americans, participants and other component U.S. inputs. Copies of these work schedules would be sent to Washington for information, not for approval. The information contained would be the principal supporting material for project funding requests, but their primary purpose is that of mission management of technical assistance activities. The work plan would relate to the total length of the project. However, it clearly can be sharpened and more definitive in relation to the next 12 or 24 months, and will need to undergo revision by the Mission.

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4. Brief, systematic, semi-annual PROJECT PROGRESS REPORTS related to the work schedule, to accomplishments, and to problems and delays. These reports, etc., are primarily tools of Mission management with copies to Washington for information and to serve as the basis for assessing the worldwide patterns of progress in comparable terms from country to country.

5. Budget schedules of cost components, which for continuing projects would need little further narrative or justification other than that provided by the project papers, work plans and progress reports, and which for the non-project costs, would present an opportunity for an integrated review of the entire mission non-project operations.

6. Use of loose-leaf files containing project papers, reports, agreements, work plans and progress reports as the working reference on project status in Mission and D I/Washington offices directly concerned and use of the Congressional Presentation project lists, supplemented by other reports as needed, to provide necessary reference material on current projects for other AID offices and other agencies.

Project as unit of management A separate message (AIDTO CIRCULAR A-267) proposes the revision, by Mission, of each of project lists or break up into their component sub-projects or activities those "projects" which are not sensible units of Mission program management, but are clusters of activities which are in fact executed separately. The phrase project or sub-project as used in this message refers to the realistic

Unit of Mission management for purposes of assignment of responsibility, work planning, progress evaluation and internal financial reporting, even though several such units may have been included in a single E-1 in previous years. The guidance on the appropriate scope of a project for management and reporting purposes given in relief should be considered integral with the proposals in this message.

2) CAP Part II - Purposes and Shortcomings

A. CAP Part II is one extended document prepared in the late summer of each year, intended to accomplish the following purposes:

1. Description and analysis of the project components of sector goals and strategy.
2. Project progress report and evaluation of the prior year(s).
3. Request for (prior and) Year funding.
4. Proposal for implementation approval this year of new projects and major changes in continuing projects.
5. Proposal of project budget level for next year.
6. Proposal of new projects or major changes for budget year start.
7. Information for Congress, i.e. the project books and background detail.
8. Reference source of project description and information for AID non-Regional offices and other agencies.

These are valid purposes which need to be served. Some of the failings of CAP Part II in meeting them and ways in which the proposed system will do better are:

- 1) Part II, being primarily a project book, was made it easy for

goal plans and sector analyses to remain thin, insignificant covers for the collections of activities that happen to be going on in an area. Only Mission skill and determination can really improve this, but it is our hope that the staff of goal plan summaries and/or sector strategies in place and time to Part I (Country Program Memorandum) will encourage and make possible an improvement in their analysis of priorities, inter-relationships and the adequacy and scope of programmed activities to meet program targets. This staff reflects the need for greater stress on sector analysis and goal planning, but our feeling that this is efficient, free, simple process, and should not be dominated by essentially management-oriented project implementation planning.

2. Part I is too infrequent and too embedded in the main job of being a budget proposal to be an appropriate vehicle for progress reporting and evaluation. Effective evaluation of both project design and project implementation can be better attained through a system which focuses on quality and quantity of accomplishment and on timing, and which facilitates dialogue and feedback between the field and AID/W at least semi-annually.

3. Part II is received too late in the year to be useful for establishing the operational year budget for continuing projects. This defect is now largely remedied by the Regions' separate requests to the field for OY budget figures in the early summer, a practice which will continue.

4. D-1s are often unsatisfactory in their presentation of new activities and significant new departures as "continuing projects" for

current year implementation. Supplementary information often is needed and frequently is not available until later. Furthermore, the annual budget cycle, with its focus on annual costs, is not a helpful context in order to deal through the full dimensions, attributes, and priority of a proposed activity. A more complete, multi-annual presentation of activities and the budget is being to allow it. However, the utilization of funds should be considered in the planning, provided that the utilization of projects to be initiated in the budget year is available as budget case to provide a baseline for future activities.

4. In order to get with the budget year figures for continuing projects and to be able to schedule some more activity and with that will then be able to move to new jobs. The main effect of a re-structuring and re-organizing in small projects with the continuing essentially as planned can be viewed.

5. The progress of major projects changed proposed by 20 should be clear in some way and resources that are primary required on the full scope and range of what is proposed. They are available and ready to do so, and might otherwise be lost or be used in other projects, which would be an advantage and support by the industry and otherwise. They are not a total project and are not.

6. The present, progress of a continuing and other projects of material in a full and long-term of presentation to the industry and continuing and available. The main activity concerning the projects of interest should be to be able to be proposed and to be able to be done of the end of year progress and to be able to be done by the industry and other projects.

3) Page 14 has major limitations as a ready reference source of program information. It is not dependable for the current or future years in that it reflects Minister proposals only, not Agency decisions. For reference to the nature, purpose and scope of the project, the project paper and submittals will be superior. For purposes of additional reference, the Congressional Presentation project data volume would appear to be an adequate or even superior substitute in that they are more concise and more readily retrievable.

III. Implications of the Program Planning and Budgeting System on Technical Assistance Programming

Technical Assistance programming must be systematically rationalized within the framework of the budget bureau's PEB system which will be applied on a worldwide basis to AID's economic assistance program for FY 1969.

PEB calls for an increased focus on long-term objectives and the strategy for reaching them, more system analysis, a tighter relation between program means and goals, and a substantive, multi-year review of progress toward the meeting of such goals. (See AID's 1968 A-100) Improvements in Program Planning and Management via Study Project Selection on

The Country Program is provided, which takes into account in our other major development country programs, is designed to provide a concise analysis of our five-year objectives and strategy in the country. The analysis is supplemented by a Program and Financial Plan which summarizes program goals and the country, AID, and other donor inputs necessary to achieve these targets over the five year period. In an increasing number of cases, the country strategy will have to have part

on one or more successive, systematic efforts at sector analysis attached to the Program Management or submitted separately for review.

The emphasis in technical assistance programming described in this message thus varies in the progressive elaboration of a systematic framework of country program analysis, reviewed and reviewed annually, comprising technical and financial assistance, program loans, food assistance, control of credit currency, and policy leverage, and supported as necessary by concentrated analyses of sector needs. (See also AITD/CRC XA-93B, General Guidelines for the Preparation of the Annual Program Submission Part I) FY68. This course of development should facilitate improved executive planning, budgeting, execution and monitoring of projects as well as submit a more detailed budget year submission in the future.

V. Consolidation of Changes in Technical Assistance Programming

1. Unit. As indicated earlier, the proposed system rests on a management unit, hereinafter called a "project." Most current, formal AID projects are such units. In some instances sub-projects or "activities" are the useful units of the program management. In such cases the project system described is intended to be applied to them. (See AITD/CRC A-201.)

2. Project paper. There will be a "managing" project paper for each technical assistance project (management unit). This document will provide the basis for the review and authorization of each new technical assistance project. It will not be routine for continuing projects since at such time generally less than quarterly data are required while re-examination, major revisions of targets and/or approach,

and authorization, and funding estimates. The project paper should include (a) a clear statement of the goals of the project; (b) analysis of the role in the country program and justification for entering into it; (c) a systematic and realistic strategy of action for the life of the project; (d) the magnitude and timing of host country and AID inputs and supporting actions; and (e) benchmarked targets, steps, major actions, intermediate processes, target changes in quality, against which progress can be judged. These benchmarks should relate to observable outputs, e.g. changes in standards of practice, or numbers of persons trained. That can be judged in terms of quality, amount and time, and action in terms of both time and amount of goods. Clear analysis of needs and priorities. The project paper, once approved, will stand as the basic project justification and plan, as long as there is no major change of scope or character in the technical assistance project, i.e. one extending and/or modified in its authorization. A resubmission and justification of a project could conceivably not be necessary for each project year submission.

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This draft of the project technical assistance paper would be submitted for review with the Mission as ready - that is any time during the year.

Proposals for major and complex new undertakings, requiring close joint planning with the cooperating country, would be submitted initially to general outline. The purpose of this would be to obtain agreement in principle for starting the project in the appropriate budget, and on the basis proceeding with a joint, intensive project-preparation effort with the country, either by Mission staff or through a consultancy study contract. Such preliminary project papers will provide the basis for including in the budget Year request and Congressional presentation materials for major new activities, while full analysis and development of the project plan are being carried forward during the Operational Year.

3. Project Authorization and Approval. The project paper will be the basis for an authorization to proceed with the project in accordance with the indicated approach. The authorization will be submitted to the appropriate committees, including the Senate, and will include the following information: (a) a statement of the project's purpose and general objectives, including a statement of the project's importance and general significance, including a statement of the project's impact on the country's development, and a statement of the project's impact on the country's development; (b) a statement of the project's impact on the country's development; (c) a statement of the project's impact on the country's development; (d) a statement of the project's impact on the country's development; (e) a statement of the project's impact on the country's development; (f) a statement of the project's impact on the country's development; (g) a statement of the project's impact on the country's development; (h) a statement of the project's impact on the country's development; (i) a statement of the project's impact on the country's development; (j) a statement of the project's impact on the country's development; (k) a statement of the project's impact on the country's development; (l) a statement of the project's impact on the country's development; (m) a statement of the project's impact on the country's development; (n) a statement of the project's impact on the country's development; (o) a statement of the project's impact on the country's development; (p) a statement of the project's impact on the country's development; (q) a statement of the project's impact on the country's development; (r) a statement of the project's impact on the country's development; (s) a statement of the project's impact on the country's development; (t) a statement of the project's impact on the country's development; (u) a statement of the project's impact on the country's development; (v) a statement of the project's impact on the country's development; (w) a statement of the project's impact on the country's development; (x) a statement of the project's impact on the country's development; (y) a statement of the project's impact on the country's development; (z) a statement of the project's impact on the country's development.

consisting of a table where the significant design aspects, or actions involved in achieving the goals of the project are listed, including those of the cooperative government and agency and of other donors, and columns in which the start, duration and end of these steps are located by time, by quarter year. This is supported by essentially similar schedules listing, plotting and costing the associated inputs of (1) consultants, (2) participants, and (4) commodities and other costs. Finally, and of the utmost importance, (5) one or more graphs are used to plot targets for relevant outputs over time. Attached as illustrations are copies of these forms as used in Brazil. Forms modified slightly to be more useful as budget controlling work sheets and to include the technical code information heretofore requested on the proposed planning matrix will be sent you as quickly as possible with detailed instructions.

To the maximum feasible extent the work schedule should be worked out jointly with the borrower/agency and should cover all the major elements of action needed or activities to achieve the agreed goals of the project. The degree to which such joint planning can be achieved will vary widely, but the process of jointly working out the schedule and of monitoring progress against it should be a mutually helpful exercise to the responsibility of development management. Copies of an initial implementation plan should accompany each project paper proposing long-term implementation, and a current copy should be available to support each funding request for continuing projects. This can

greatly reduce the need for descriptive narratives in project proposals, and reduce narrative fund requests to that needed to explain changes in plan.

The implementation plan will need to be revised from time to time, probably at least annually. This is a Mission responsibility and may be done at any time within the scope of the authorized project and available funds.

5. Progress Monitoring ^{project} Periodic/progress reports ~~shall~~ ~~be~~ ~~required~~. These reports will measure the performance of the project in terms of the stated implementation plan and of Mission judgments of accomplishment and contribution. Each will indicate whether the donor judges whether the project should continue, and if not, whether the project may remain a suitable framework for continued operation or re-analysis is required. The Technical Assistance Project Evaluation Report (TAPER), an extensive semi-annual questionnaire designed by USAID Antioch, is currently being tested in four countries - Panama, the Philippines, Turkey, and Nigeria. Somalia has a structured progress monitoring reports developed by other Missions closely linked to the scheduled steps in the work plan are also being reviewed.

Revisions of project progress reporting from the budget cycle should permit a succinct simplification of the budget submission, a more appropriate frequency of progress reporting, and better-focused content for both purposes.

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6. Project budget submission. Funding of operational assistance activities will remain on the present annual basis, and no change contemplated in cost components. Existence of the above [redacted] elements in the system reduces the need for budget narrative to brief explanation of shifts in execution. The budget submission will consist of a schedule in June of operational year funding requirements for continuing activities, and tables in September for budget year submission. These tables will include obligation and expenditure estimates by project (execution unit), broken down by cost components in the same divisions as the current quarterly reports of project obligation and expenditures. The supporting information for the component estimates is provided by the implementation plan. The only narrative included will be explanatory notes concerning changes in the implementation plan.

In addition, a Mission non-project operational budget has been developed covering both maintenance and program (each support) funded requirements in adjoining columns.

The budget submission will be a self-contained program submission, and, hence, will be a set of estimates dependent for substantive content on the spring review of country program objectives and strategy; on the standing file of approved project papers; on new project papers, preliminary or definitive, prepared for a management; on the periodic implementation progress reports; and on the current set of Mission project implementation plans. Under this scheme, CRP Part II will be replaced by a system which would provide a preliminary and definitive approved Mission project planning and management, and also provide a link with a

considerable improvement in planning, and, hopefully, the substance of information received.

V. Program/Budget Cycle

Using the system and procedures shown, the timing of the program/budget cycle would normally be as follows.

April - Mission activities analyzed, country program memoranda and program and financial plans, including goal plan summaries.

May - A/W reviews country program memoranda and program and financial plans. Reports received from country program memoranda and general statements for the Bureau of the A/W.

June - Mission submits operational year cost estimate revisions for continuing projects.

July - A/W discusses budget with COB. Discussions with COB and review of program memoranda and A/W A/C/W transmits budget year funding schedule to Mission.

July-August - Mission executes project progress reports covering financial.

September - Mission submits budget year technical assistance projects, and all projects, and administrative and technical support cost estimates, together with any other work program and expense assistance requirements from those included in the country program memoranda and program and financial plans. Information supplied to the extent they are not already available for program project papers and updated cost plans.

October - A/W reviews with COB cost estimates, including initial review of any new projects. A/W issues an initial.

November. A.D. submit budget request to Bureau of the Budget.

December. Mission submit project progress report, and if requested by Region, draft material for project pages in Congressional Presentation project book.

January. A.D./W prepares Congressional Presentation material based on Mission drafts and/or country's program memoranda and current project work plans as updated by progress reports and budget cost estimates.

VII. Transition

Transition to the new system has begun with the reference airgram on project as a unit of management and modified requirements for Part II of the CAP which reduce narrative except for ready new proposals, encourage preliminary new proposals, incorporate supporting schedules which are a large part of a project work plan, and partially integrate the technical support and administrative budgets. We have in draft, and will be sending you shortly, guidance on project reports and implementation plans. Developing through guidance on program reports and sector analysis/son. Plans development, though somewhat longer, as will analysis of the impact of these modifications on formal authorizations, agreements, obligations, etc.

This is a transition year. We want and need your consent and participation. Indeed, it is essential, if the guiding notion of a system to serve management needs is to have any validity. There accordingly is required by A.D./W that in of use to the Mission, which is necessary.

responsibility refused, or where you find you have to do something
over because A/W asks for it in a way that doesn't serve your
needs, the requirement should be challenged. There may be good
reason and may be better way, but you should throw the burden of
proof on us

Enough, P/P/PP/HHartney, A/AT/assn

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A.I.D. INFORMATION SYSTEMS TASK FORCE

DIRECTORY

Membership of Groups and Scope of Assignments

March 1966

A.I.D. INFORMATION SYSTEMS TASK FORCE

		<u>Room</u>	<u>Ext.</u>
<u>Group Chairman:</u>	B. Harvey, A/AID	5899	8070
<u>Staff:</u>	D. Mayer, TCR	5899	8379
	K. Shorter, A/MP	5891	7631
	A. Marshall (Sec.) TCR	5899	8379
	J. Franklin (Sec.) A/AID	5891	7631
 <u>Group Chairmen and Alternates:</u>			
1.	Current Information Systems	<ul style="list-style-type: none"> 1/ DeWilde, J., A/MP 717 UN - Porlier, V., A/IM 226 SA-1 	<ul style="list-style-type: none"> 128-7605 8366
2.	Information Technology	<ul style="list-style-type: none"> - Fite, H., A/MP 717 UN - Butler, G., A/MP 721 UN 	<ul style="list-style-type: none"> 128-7605 128-28136
3.	AID Program Data - Categories	<ul style="list-style-type: none"> - Chase, G., PC 3948 - Shorter, K., A/MP 5893 	<ul style="list-style-type: none"> 4256 7631
4.	AID Program Data - Projects	<ul style="list-style-type: none"> - Chamberlayne, J., A/MP, 714 UN - Fradenburg, W., A/MP, 714 UN 	<ul style="list-style-type: none"> 128-28061 128-28042
5.	Technical Assistance Planning, Budgeting, and Approval (CAP II)	<ul style="list-style-type: none"> - Hough, R., PC 3892 - McClelland, G., TCR 3536 	<ul style="list-style-type: none"> 2267 7143
6.	Technical Assistance Progress/ Evaluation Reporting	<ul style="list-style-type: none"> 1/ Turner, H., TCR 3534 - Thorsen, T., AFR 703 SA-1 	<ul style="list-style-type: none"> 7161 8292
7.	Capital Assistance Progress Evaluation Report	<ul style="list-style-type: none"> - Folk, H., DFPE 2489 - Bass, N., DFPE 2490 	<ul style="list-style-type: none"> 8022 4292
8.	A.I.D. Memory	<ul style="list-style-type: none"> - Mayer, D., TCR 5899 - Buller, H., PC 3745 	<ul style="list-style-type: none"> 8379 8389
9.	Country Data	<ul style="list-style-type: none"> - Strout, A., PC 3953 - Buller, H., PC 3745 	<ul style="list-style-type: none"> 6846 8389
10.	Local Currency Reporting	<ul style="list-style-type: none"> - McCall, D., PC 3889 - Veret, B., GC 6883 	<ul style="list-style-type: none"> 5074 7610
11.	Current A.I.D. Reporting Requirements	<ul style="list-style-type: none"> - Alejos, J., A/MP 714 UN - Alsop, C., A/CONT 2738 	<ul style="list-style-type: none"> 128-21329 7897

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 1 - Current AID Information System

PARTICIPANTS: J. DeWilde, A/MP, Chairman; V. Porlier, A/IM, Alt;
K. Flakowicz, A/PA; W. Riley (Seccombe), PC/SRD;
J. Shute, A/CONT; A. Sukrow, A/PA; I. Walker, A/MP

HYPOTHESIS: That a systematic descriptive analysis of AID's current formalized and regular systems of information flow (reporting) will reveal gaps, inconsistencies and redundancies with useful precision as well as providing a full matrix to which any modified reports must relate.

SCOPE OF ASSIGNMENT: Prepare a brief descriptive inventory of current AID information systems, especially regular formalized reporting, indicating the nature of the information carried, the sources, the degree and kind of data manipulation involved, the directions of flow, the clientele, the purposes for which intended, and the actual purposes for which used.

The inventory should include, but not be limited to:

- Fiscal and financial information system
- Personnel and manpower system
- Periodic narrative progress and problem reports
- Program, Budget, Presentation System
- Project proposals and approvals
- Various project operations reporting attempts
- Manual orders, PDs, etc.
- Statistical and information preparation for external groups

Cable and airgram traffic serves in some part as the means of transmission for regular reports and in large part for routine administrative business or policy problem and negotiating correspondence not appropriately confined to regular reports. In some degree, however, ad hoc messages are requests for and provision of information that might better have been included in regular reporting. Identification of this latter element in detail would be a major contribution.

The purpose is to establish a base line, including feasible estimates of costs and effectiveness, to facilitate the identification of gaps, areas of inefficiency, overlaps, inconsistencies, duplications, and the context to which any innovations must relate.

TARGET: DRAFT report - April 1

Group 1

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 1 - Current AID Information Systems

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: DeWilde, John	A/MP	717 UN	128-7605
Alternate: Porlier, Victor	A/IM	226 SA-1	8366
Members: Flakowicz, Karol	A/PA	6544 SA-8	6789
Riley, Wilhemina Seccombe	PC/SRD	A-205 SA-10	7134
Shute, John	A/CONT	2888	7905
Sukrow, Arnold	A/PA	6540 SA-8	4132
Walker, Irene	A/MP	714 UN	128-28042

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 2 - Information Technology

PARTICIPANTS: H. Fite, A/MP, Chairman; G. Butler, A/MP, Alt.; A. Strout, PC; R. Ruggles, PC; H. Kusters, A/CONT; E. Castleman, A/IT; J. Wilkes, TCR; K. Duckworth, MR; Clarke, C.E., AFR

HYPOTHESIS: That the Agency has not kept abreast of recent developments in information systems technology and that a wide-ranging, machine-oriented review of current AID information flows will reveal a number of ways in which functions and reports may be accomplished faster, better and with less human effort through use of advanced technology.

SCOPE OF ASSIGNMENT: The sum of the work of the Information Systems task sub-groups will serve to identify the scope of computer use that will be involved in the re-designed Program Planning, Implementation and Evaluation System. This work will serve to identify as well other equipment and technology which may need to be incorporated in this system. However, in addition to the requirements for this major system, it is evident that there are other possible areas for the application of advanced information technology. Some of these are closely associated with this mainstream system while others are fairly remote from it. An illustrative but by no means complete list of such fields would include the following: (1) the financial reporting and record system; (2) the area of personnel administration; (3) the operating, information and record system of the Office of International Training; (4) an information retrieval system for cables, airgrams and correspondence; (5) numerous applications in the Regional Bureaus, the Office of Material Resources, Office of Development Finance and Private Enterprise, etc.; (6) research applications sponsored by the Office of Program Coordination or Office of Technical Cooperation and Research, etc.

It is vital to begin at once to develop at least in general outline the nature and probable magnitudes of these various requirements. First of all, to ascertain the inter-relationships of these various requirements and particularly how they relate to the program planning implementation system. Such relationship must be taken into account in current systems planning. The size and complexity of the total job goes far beyond our present in-house capability or any that we should plan for. Hence we need to develop a general idea of the total ultimate scope so that we can arrange for adequate continuous technical backstopping. Similarly, we face questions about the computer configuration that will ultimately be required, the question of rent, buy share or service contract, unusual software requirements, in-house manpower requirements,

GROUP NO. 2 - (cont'd)

priorities according to which the various applications should be undertaken and long-range budget projections. Answers to these questions should be sought long before these actions have to be taken. These are the matters to which this working group should address itself. In addition, this group will serve a very useful purpose as a visible point to which future ideas or other current ideas about potential applications of which we are not even aware can be brought.

TARGETS: Preliminary view of general nature and magnitude of Agency ADP needs over next 2 years - May 1.

Group 2

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 2 - Information Technology

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Fite, Harry	A/MP	717 UN	128-7605
Alternate: Butler, Gordon	A/MP	721 UN	128-28136
Members: Castleman, Edward	A/IT	1113 SA-5	128-22041
Clarke, C. Eugene	AFR	126 SA-1	7757
Duckworth, Kenton	MR	605 SA-10	7878
Kosters, H. E.	A/CONT	2744	7904
Ruggles, Prof. Richard	PC	3953	6846
Strout, Allen	PC	3953	6846
Wilkes, John	TCR	3643	7621

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 3 - AID Program Data - Categories

PARTICIPANTS: G. Chase, PC, Chairman; K. Shorter, A/MP, Alt.; J. Alejos, A/MP; R. Birnberg, NESAs; A. Claxton, PC; E. Cook, PC/SRD; R. Weber, FE; A. Huntington, PC/SRD; F. Johnson, LA/BR; E. Kusters, A/CONT; J. Newman, IS; A. Rosenfeld, AFR; C. Shaw, FE; D. Burn, MP/DSPO

HYPOTHESIS: That the current set of categories embodied in the project number fails to provide adequate reference to AID-financed and controlled activities; and that an improved method of activity classification will, when combined with appropriate use of ADP equipment, reduce or eliminate the need for special hand tabulations, and will provide a major key to the establishment of a central reference and access system to the documentation of AID activity and experience.

SCOPE OF ASSIGNMENT:

1. Develop a multi-dimensional reference identification for AID projects, intended to substitute for the present complex, coded project number. Preferably one identification format should be capable of being used for TA dollar projects, Capital Assistance projects, local currency projects, Food for Peace donation activities, guaranteed activities, and all other AID-financed or controlled program activities other than non-project assistance through market channels. The format should indicate several "dimensions" of reference identification, e.g. funding, terms, location, recipient group, economic field and specialization, purpose(s), method of process, relation to private initiative, etc. It may be structured, i.e. provide explicit alternative categorizations among which the project must fit, or be open ended, i.e. invite descriptive phrases at the will of the classifier to "pin down" aspects of the project's nature, or a combination of both. The OECD list of 2200 development "key works" may be useful in this regard.
2. Test the project identification and instruction by having it filled out for a sample of projects preferably by at least two people working independently for each.
3. Consult with MP/DSPO and as useful with contract systems analysts (e.g. Ray Barrett of Systems Development Corporation) concerning ADP use of the identification as a means of sorting projects and identifying and retrieving project data in the data bank. Prepare appropriate recommendations for the application of the identification to all AID projects entering the ADP system.

GROUP NO. 3 (cont'd)

4. Search out, assemble and analyze suggestions and complaints about (1) desired project data not now available from regular formalized reports (needed for specifically what purpose?) and (2) project data now supplied but of little use. A useful key here should be query as to what kinds of information must be frequently queried from the field?
5. If group 4 recommends and defines an area of "unproject" activities, including Technical Support and other continuing advisory and supporting activities currently treated as projects, recommend the appropriate relationship of such activities to use of the reference identification format or a modification thereof.

TARGETS: 1. Draft - March 15 Final - April 15
2. - May 1
3. - June 1
4. - April 15
5. - May 1

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 3 - AID Program Data - Categories

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Chase, Gordon	PC	3948	4256
Alternate: Shorter, Kay	A/MP	5891	7631
Members: Alejos, Judith	A/MP	714 UN	128-21329
Birnberg, Richard	NESA	6731	8303
Burn, Donald	MP/DSPO	721 UN	128-21836
Claxton, Allan	PC	3889	7761
Cook, Elizabeth	PC/SRD	A-203 SA-10	7120
Huntington, Albert	PC/SRD	A-204 SA-10	7141
Johnson, Frances	LA/BR	4906	5121
Kosters, Edward	A/CONT	2744	7904
Newman, Joseph	IS	4898	8073
Rosenfeld, Albert	AFR	6942	8466
Shaw, Carroll	FE	3316-A	8071
Weber, Richard F.	AFR	6758	7924

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A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 4 - AID Program Data - Projects

PARTICIPANTS: J. Chamberlayne, A/MP, Chairman; W. Fradenburg, A/MP, Alt;
R. Birnberg, NESAs; R. Coffin, LA/DP; J. Cohen, PC/SRD;
M. McCleary, MR; A. Quinn, A/CONT; J. Huber, PC; R. Clark,
MP/DSPO; Conroy, Dennis, AFR

HYPOTHESIS: That the "project" in current AID practice is often such a mixture of disparate activities as not to be a useful unit for implementation approval, control or non-narrative reporting; that quantitative progress reporting will be more meaningful if it relates to administratively discrete activities (often sub-projects) and that continuing activities or project elements should be budgeted and reported outside project framework.

SCOPE OF ASSIGNMENT: To determine the most useful units of AID-financed activities for administrative purposes, i.e. implementation approval, execution and performance monitoring, about which activity information should be concerned.

1. Inventory and review current agency practice concerning the "project" or other units of communication actually used for activity approval, execution, control, and reporting. To what extent do desk, ID, CDF and other officers responsible for developing or reviewing:

Activity proposals for implementation approval
Work plans
Progress reports
Resource use estimates or controls

need to break "project" information into sub-units to accomplish these purposes? depend on sub-unit information in E-1 back-up sheets which is lost in E-1 face sheets? To what extent do mission controllers or project managers maintain separate files or memorandum accounts on sub-project information?

2. If they do frequently, would routine project operational data be more useful if the component sub-projects of "cluster projects" were treated and reported separately? What would be involved in such a fragmentation of operational and reporting units? How long would it take to accomplish?
3. Review the CAP II's and other project information for Turkey, Nigeria, Panama and Philippines with a view to identifying sub-projects and any difficulties or benefits resulting from using them as the reporting units.

GROUP NO. 4 (cont'd)

4. "Projects" are said to be recognizable by having a clear initial point of decision, and a clearly foreseeable end in terms of time, immediate result and required cost. This is easily the case with capital projects, which are normally fully funded at authorization. It is true, albeit with less clarity, of many major technical assistance projects, especially those of an institutional-building character. It is not at all clear of many other technical assistance activities, which are essentially continuing or evolutionary in character. Would the discreet "projectness" of continuing TA be enhanced by explicitly dividing clusters into sub-projects? Would the organic, evolutionary growth of multipurpose TA relationships be hampered?
5. How best should advisory and other continuing TA activities be planned, budgeted, reviewed, reported? Including Technical Support.

TARGETS:

1. Review of practice - March 25
2. Report findings and recommendations - April 1
3. ORC decide whether to proceed with revision of "project" reporting unit - April 14

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 4 - AID Program Data - Projects

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Chamberlayne, John	A/MP	714 UN	128-28061
Alternate: Fradenburg, William	A/MP	714 UN	128-28042
Members: Birnberg, Richard G.	NESA	6731	8303
Clark, Robert W.	MP/SDPO	721 UN	128-28095
Coffin, Roy	LA/DP	3913	3929
Cohen, Jack	PC/SRD	A-214 SA-10	7138
Conroy, Dennis	AFR	4841	8405
Huber, John	PC	3898	5762
McCleary, Mary	MR	C-504 SA-10	5425
Quinn, Albert	A/CONT	2941-A	7871

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 5 - Technical Assistance Planning, Budgeting and Approval (CAP II)

PARTICIPANTS: R. Hough, Chairman, PC; G. McClelland, TCR, alt.; R. Birnberg, NESAs/DP; J. Breen, LA/DP; A. Lanza, NESAs; H. Nissenbaum, AFR; A. Quinn, A/CONT; M. Schuweiler, P. Tosini, PC; W. Hawxhurst, MP/DSPO; J. Hodson, ~~FE/DP~~; *D. McNamee, A/IMP; W. White, FE/DP.*

HYPOTHESIS: That the annual submission of a mass of retrospective and prospective project detail in CAP II is not the most efficient way of reporting progress, budgeting continuing activity or proposing new activity, and that the functions CAP II is designed to serve would be better served by (1) a limited, early summer, operational year budget submission stating funding needs (not justification) for activities previously approved in principle; (2) a fall budget submission justifying funding magnitudes for the budget year; (3) submission of TA project outlines for approval for planning, and project detail for approval for implementation in principle, at times appropriate to the activity; (4) a strategy and long-look-forward preview submission in the spring, including CASS and sector plans.

SCOPE OF ASSIGNMENT:

1. Identify the several purposes now served within the Agency by CAP II and E-1s, and analyze them in terms of nature of information required, nature and validity of need, timing, availability of alternative sources.
2. Determine whether field and/or Washington operations could be better served by handling separately and on separate time schedules the various purposes now served by CAP II, including review of prior year actions, proposal of goal and sector plans, proposal for implementation approval and funding of continuing activities for current year, proposal of new activities for current year implementation approval, proposal of level of continuing activities for budget year, proposal of new activities for inclusion in budget, provision of information required by Congress (with identification of any not otherwise needed).
3. Recommend:
 - (a) any modifications in CAP II to be implemented immediately effective with this fall's submission;
 - (b) modifications to be studied through for implementation the following year.
4. Prepare draft instructions for the implementation of 3.(a) above.

TARGETS: Preliminary report by April 1 so far as relates to 3.(a) above. If positive, implementing instructions by May 1. Draft full report by June 1.

A.I.D. INFORMATION SYSTEMS TASK FORCEGROUP NO. 5 - Technical Assistance Planning, Budgeting,
and Approval (CAP II)

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Hough, Richard	PC	3892	2267
Alternate: McClelland, Glenn	TCR	3536	7143
Members: Birnberg, Richard	NESA/DP	6731	8303
Breen, J. R.	LA/DP	3917	3045
Hawxhurst, Willard	MP/DSPO	721 UN	128-28095
Hodson, Jeremy	FE/DP	6311	8221
Lanza, Anthony	NESA	308, SA-2	4569
Nissenbaum, Herman	AFR	6663	8400
<i>McMullen, David</i>	<i>A/MP</i>	<i>725 UN</i>	<i>128-28031</i>
Quinn, Albert	A/CONT	2941A	7871
Schuweiler, Melvin	PC	3953	3815
<i>White, William</i>	<i>FE/DP</i>	<i>6313</i>	<i>8221</i>
Tosini, Paula	PC	3953	6846

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A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 6 - Technical Assistance Progress/Evaluation Reporting

PARTICIPANTS: H. Turner, TCR, Chairman; T. Thorsen, AFR, Alt.; J. DeWilde, A/MP; W. Stone, A/IM; J. Breen, LA; C. Ladenheim, FE; I. Walker, A/MP; J. Alejos, A/MP; W. Hawxhurst, MP/DSPO; *Anthony, Peter, DFFE*

HYPOTHESIS: That the TAPER will prove on testing to be a useful progress monitoring device, with some modification in design and scope, and that the work plan and progress evaluation efforts adopted by several missions in response to the Lincoln Report and associated A/AID circular messages deserve study with a view to broad emulation.

SCOPE OF ASSIGNMENT:

1. Review and suggest improvements in the proposed Technical Assistance Project Evaluation Report and in the pilot field test of that report.
2. Review the proposals for improved TA project progress monitoring in the FAIME Phase B and Booz-Allen-Hamilton report on Top Management Reporting Requirements, and assess the usefulness of current agency systems: end of tour reports, three-year Project History Report, Regional systems, and the work plan and progress evaluation systems adopted by several Missions in response to the Lincoln Report and the associated A/AID circular messages.
3. On the basis of findings and appropriate consultation with operating offices, recommend modification, reduction or increase of current AID TA project work plan and progress monitoring requirements to improve management with reduced diversion of professional time from substantive duties.
4. Advise and as appropriate assist A/MP in the establishment and conduct of the pilot field test of TAPER in Turkey, Nigeria, Panama and the Philippines.

TARGETS:

1. Revisions for TAPER - March 15
2. Review work plan and monitoring systems - May 1
3. Recommend improvements - June 1
4. Advise field test - March - June

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 6 - Technical Assistance Progress/Evaluation Reporting

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Turner, Herbert	TCR	3534	7161
Alternate: Thorsen, Thomas	AFR	703, SA-1	8292
Members: Alejos, Judy	A/MP	714 UN	128-21329
Breen, J. R.	LA	3917	3045
DeWilde, John	A/MP	717 UN	128-7605
Geithner, Peter F.	DFPE	2493	4291
Hawxhurst, Willard	MP/DSPO	721 UN	128-28095
Ladenheim, Charles	FE	3316A	7319
Stone, Wyman	A/IM	226A, SA-1	8366
Walker, Irene	A/MP	714 UN	128-28042

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 7 - Capital Assistance Progress Evaluation Report

PARTICIPANTS: H. Folk, AA/DFPE; Chairman; N. Bass, DFPE,ALT.; E. Felder, FE;
L. Hale, ENGR; S. Hassman, LA/CD; W. Lee, C/ACC; E. Paulisch, NESA;
M. Wedeman, AFR; D. Santos, A/MP; R. Clark, MP/DSPO.

HYPOTHESIS: That improved project planning and a regular reporting device, perhaps comparable to TAPER, will help to organize, reduce and make more significant information needed for monitoring progress on capital projects in active implementation.

SCOPE OF ASSIGNMENT: With initial focus on dollar-financed capital projects, but with a view to subsequent consideration of Cooley loans and other local currency capital projects:

1. Review and assess in detail:
 - a. Recommendations of Booz-Allen-Hamilton report on "Capital Assistance Reporting";
 - b. FAIME proposed Technical Assistance Project Evaluation Report (TAPER) Appendix G, Dunlap Report 551-4, October 31, 1965;
 - c. Col. Lincoln study on project evaluation;
 - d. Control, reporting and evaluation systems for capital projects currently being used by Regional Bureaus and other offices of AID.
 - e. The project progress reporting systems used by the U.S. Bureau of Reclamation and by the World Bank, Ex-Im Bank and other appropriate international lending institutions.
2. Analyze the capital project components most useful and meaningful for work planning and progress reporting, the data needed for monitoring the implementation of capital projects, and the ways in which progress reporting may most usefully be summarized.
3. On the basis of findings, recommend a system and format for capital project work planning and progress reporting which will combine simplicity of preparation and communication with effective scope and detail.
4. Design a pilot test of the proposed system on a sample of projects.

TARGETS:

1. Review of reports and other practice - May 1
2. Analysis of functions and data needed - May 15
3. Proposed report - May 30
4. Test design - May 30

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 7 - Capital Assistance Progress/Evaluation Report

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Folk, O. Harold	DFPE	2489	8022
Alternate: Bass, Neil	DFPE	2490	4292
Members: Clark, Robert W.	MP/DSPO	721 UN	128-28095
Felder, Edward	FE/CDF	315, SA-1	8048
Hale, L. M.	ENGR	4528	7663
Hassman, Samuel	LA	2252	8346
Lee, Willard	C/ACC	628 UN	128-28049
Paulisch, Elisabeth	NESA	6930	7824
Santos, David	A/MP	714 UN	128-28042
Wedeman, Miles	AFR	4639	7171

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A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 8 - A.I.D. Memory

PARTICIPANTS: D. Mayer, TCR, Chairman; H. Buller, PC, Alt; J. Shurman, GSD;
C. Piper, TCR; C. Ladenheim, FE; D. Carter, MP; E. Ripps, NESAs;
C. Shorey, GC; K. Shorter, A/MP, J. Ohly, A/AID; W. Jones,
MP/DSPO; L. M. Hale, ENGR

HYPOTHESIS: That the Agency lacks a central system for the retention, control and access of the wealth of analytical and descriptive material deriving from its operations and that a system which would improve its ability to draw on its own and other's experience for program and administrative decisions would be feasible and worth the cost.

SCOPE OF ASSIGNMENT:

1. Develop a document identification format for eliciting systematic, summary descriptive information about papers in the possession of AID offices to which they believe reference access by other offices would be useful and important.
2. Ask Agency offices to use the format to identify a sample of documents and circulate the resulting list as a test (a) of the format, (b) of the potential supply, (c) of the potential demand, and to provide empirical information needed to determine the kind of reference system needed.
3. Consult reference system managers and systems development specialists as appropriate with a view to developing a functional analysis of AID reference information system requirements.
4. Identify feasible alternative methods of performing the functions needed, e.g. document selection, acquisition, indexing, storage, distribution of catalog, retrieval, reproduction and distribution, and recommend the compatible combination adequate to meet estimated requirements at least cost (including indirect costs or savings of AID clients).

TARGETS:

1. Format - March 18
2. Pilot Test - April 15
3. Functional analysis of system needs - May 1
4. Proposal of preferred system - July 1

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 8 - A.I.D. Memory

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Mayer, David	TCR	5899	8379
Alternate: Buller, Hyde	PC	3745	8389
Members: Carter, David	A/MP	725 UN	128-28031
Hale, L. M.	ENGR	4526	7663
Jones, William A.	MP/DSPO	721 UN	128-28093
Ladenheim, Charles	FE	2841	7319
Ohly, John	A/AID	5756	7369
Piper, Carol	TCR	1016	6858
Ripps, Evelyn	NESA	6441	8305
Shorey, Clyde	GC	6895	7968
Shurman, John	A/AS	122, SA-2	7981

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 9 - Country Data

PARTICIPANTS: A. Strout, PC, Chairman; H. Buller, PC, Alt; D. Burn, MP/DSPO; C. Montrie, LA; R. Ward, NESAs; H. Reynolds, PC; N. Mosher, AFR; J. Forrest, SRD; (including members of SRD advisory group on Country Data Book)

HYPOTHESIS: That AID is peculiarly suited to join, for the U.S. government, with the UN, IBRD, IMF and perhaps other international or private agencies in the creation of mutually supporting sets of "country data" and to embody such data for the LDC's in a reference periodical of government-wide usefulness.

SCOPE OF ASSIGNMENT:

- A. Information Exchange. Begin explorations with Federal Reserve Board, IMF, IBRD, UN, OECD, CIAP, regional development banks, and other international organizations to develop greater information exchange and division of labor, particularly with respect to data which can be made available on computer tape. Develop specific recommendations as to what each is to do now; what needs further exploration; and what results are expected.
- B. Basic Country Economic Data Books
 1. Working in conjunction with the Yale Growth Center and/or other consultants familiar with this problem, determine revisions needed to develop the AID economic data books into current reference sources on LDC economic data of government-wide utility. Conduct survey of users to determine needs.
 2. Review current distribution, use, frequency of revision, and develop proposals to meet needs on most practicable timely basis.
 3. Develop proposals for a country data "bank", taking into account the findings, agreements, and future potential data availabilities, based on A above.
- C. Research. Develop proposals for AID-funded research programs to uncover, develop, and assemble important primary information not heretofore available to the foreign affairs community.

TARGETS:

1. July 1 - interim report proposing (1) modifications in Country Data Book, (2) exchange of data with other organizations, and (3) detailed plans for a pilot machine-data installation contract.

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 9 - Country Data

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Strout, Allan	PC	3953	6846
Alternate: Buller, Hyde	PC	3745	8389
Members: Burn, Donald	MP/DSPO	721 UN	128-28136
Forrest, Jerome	PC	400, SA-10	7115
Montrie, Charles	LA	3913	6311
Mosher, Norman W.	AFR	6752	8407
Reynolds, Hal	PC	3841	8135

and SRD Advisory Groups and Consultants, as appropriate

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 10 - Local Currency Reporting

PARTICIPANTS: D. McCall, PC, Chairman; B. Veret, GC, Alt., T. Blacka, A/CONT;
F. Correll, AFR/DP; F. Ellis, MR; E. Parfrey, FE; A. Reich, NESAs;
I. Walker, A/MP; D. Burn, MP/DSPO; J. McColl, A/CONT; H. Thomas;
NESAs/SA; B. Rosenblatt, IA/DP

HYPOTHESIS: That reporting of local currency uses from the field to Washington can be reduced and any AID/W implementation approval eliminated, while at the same time improving the availability here of information of the kinds actually needed.

SCOPE OF ASSIGNMENT:

1. Review extent and nature of information now available in AID/W on the use being made of AID-related local currency for country purposes, including
 - (1) sec. 402 proceeds
 - (2) PL 480 sec. 104 (c), (e) and (g) funds
 - (3) Title IV (counterpart) sale proceeds
 - (4) SA counterpart
 - (5) DL program loan (counterpart) sale proceeds
 - (6) Excess currencies allocated to AID by BOB
 - (7) Local currency purchased with dollars or generated under SLC's for project local costs.
2. Determine the requirements for such information (1) for any decisions made in AID/W and (2) for accountability, and (3) for information to Congress and the public, in terms of scope, detail, completeness, and timing.
3. Propose desirable changes in the reporting system, including deletions, consolidations or reductions in current reports and/or additional or different reporting, to meet specified needs, including preparation of necessary forms, instructions, and installation schedule.

TARGETS:

1. Review of current local currency information - April 15
 2. Analysis of needs - May 1
 3. Recommended changes - June 1
-) LC policy group, lag these 1 month

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 10 - Local Currency Reporting

		<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN:	McCall, Davy	PC	3889	5074
Alternate:	Veret, Barton	GC	6883	7610
Members:	Blacka, Thomas	A/CONT	305, SA-1	7843
	Burn, Donald	MP/DSPO	721 UN	128-28136
	Correll, Frank	AFR/DP	6746	8424
	Ellis, Frank	MR	C-403, SA-10	7604
	McCall, Jean	A/CONT	2884	7868
	Parfrey, Edward H.	FE	4214	8211
	Reich, Arthur	NESA	6723	8460
	Rosenblatt, Bernard	LA/DP	3917-A	7929
	Thomas, Howard	NESA/SA	4716	7325
	Walker, Irene	A/MP	714 UN	128-28042

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 11 - Current A.I.D. Reporting Requirements

PARTICIPANTS: J. Alejos, A/MP, Chairman; M. Donahue, AFR; R. Birnberg, NESAs; K. Smith, FE; E. Corey, LA; E. Koffsky, A/AS; M. Hunter, A/PA; E. Rawson, TCR, M. Cusack, A/IT; W. Riley, PC; C. Alsop, A/CONT, V. Brown, MR; H. Buller, PC

HYPOTHESIS: That many existing numbered reports are not needed in whole or in part. That much is to be learned about the information needs of Bureaus and offices from the informal (unnumbered) reports they require, and that an inventory of reports will contribute usefully to the Task Force.

SCOPE OF ASSIGNMENT:

1. Design a report identification/approval sheet which would indicate the nature, coverage, and cost of the report, its distribution and the use made of the information contained by the recipients, and other information needed for approval of a reporting requirement.
2. Up-date and complete the inventory of AID recurring numbered reports - both USAID (U) and AID/W (W) - so that there is ready at hand for each a copy of the relevant M.O. or other instruction, one or more samples of submitted reports, and a current and completed identification/approval sheet.
3. Develop a comparable inventory of all other recurring (unnumbered) reports required from USAIDs.
4. Analyze the relationships among reports and prepare "hierarchies" showing which reports "feed" which others, which are dependent on data obtained from which.
5. Review the inventoried reports for duplication of information or function, for breach of requirement, for "dead ends" where reports don't seem in fact to be used by the intended clients.
6. Recommend any feasible deletions, simplifications, reductions in frequency, or desirable consolidations.

TARGETS:

1. Format and inventory instructions - April 1
2. and 3. Complete inventory - April 30
4. Analyze relationships - May 15
5. Recommendations - May 30

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 11 - Current A.I.D. Reporting Requirements

	<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN: Alejos, Judith	A/MP	714 UN	128-21329
Alternate: Alsop, Claud A.	A/CONT	2738	7897
Members: Birnberg, Richard	NESA	6731	8303
Brown, Virginia	MR	C-608 SA-10	8323
Buller, Hyde	PC	3745	8389
Corey, Eleanor	LA	3258	6456
Gusack, Mary Ann	IT	1105-E SA-5	128-21760
Donahue, Mary	AFR	126 SA-1	7757
Hunter, Martha	A/PA	6541 SA-8	6677
Koffsky, Elizabeth	A/AS	2536-A	8484
Rawson, Edward	PC	3758	2693
Riley, Wilhelmina L.	PC	A-205 SA-10	7134
Smith, Kenneth	FE	3311	7691

*10 copies to Glegos
6 " to Marshall
10 " filed folder # 11*

MEMORANDUM

TO : Assistant Administrators, Heads of Offices and Staffs and Professional Staff
March 30, 1966

FROM : Bartlett Harvey, A/AID, Chairman
A.I.D. Information Systems Task Force

SUBJECT: Inventory and Review of A.I.D.'s Present Reporting Requirements

A comprehensive inventory and review of A.I.D.'s present recurring reporting requirements is being initiated by the A.I.D. Information Systems Task Force Group No. 11 (see attached terms of reference and list of members). This inventory is intended to coincide with and assist the overall effort of the A.I.D. Information Systems Task Force to simplify and improve information flows within the Agency. We hope the inventory will result in additional removal of deadwood from reporting requirements and improved responsiveness of regular reports to your needs.

To fit into the Task Force's limited time schedule we propose a concentrated stock-taking in April with hopes of completing the basic inventory by April 30. Your cooperation to this end is requested.

We recognize that inadequacies in the official A.I.D. reporting system have given rise to the establishment by your offices of additional reporting requirements designed to meet particular data needs which were chronically frustrated. These unnumbered reports are among the best available indications of real information needs and deficiencies in the formal system. Because of this, they are to be included in the inventory. I ask your particular cooperation in ensuring the provision of requested samples, instructions and data on any informal reports required by your bureau or office, as well as on reports listed in M.O.'s 325.1 and 326.1 for which your office is responsible.

In order to evaluate the current usefulness of reports in the present A.I.D. information system, we are also requesting that principal recipients provide us with their evaluation of reports which they receive on a regular basis.

Task Force Group No. 11 will distribute reports inventory and recipient evaluation forms, with related instructions for their completion. Individual Group members who in most cases are bureau and office reports liaison officers, will provide necessary guidance and follow-up within the organizational units which they represent and other units as assigned. They will need the full cooperation of your staff in order to complete this comprehensive inventory in the time allowed.

- 2 -

Accordingly, I would appreciate your discussing the project with appropriate members of your staff and ensuring a wide understanding of the mutual advantages to the Agency as a whole and to individual officers which can result from improvement in the reporting system, of which this is an essential initial step.

Attachments

DISTRIBUTION:

List H, Position 8

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A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 11 - Current A.I.D. Reporting Requirements

PARTICIPANTS: J. Alejos, A/MP, Chairman; M. Donahue, AFR; R. Birnberg, NESAs;
K. Smith, FE; E. Corey, LA; E. Koffsky, A/AS; M. Hunter, A/PA; -
E. Rawson, TCR, M. Cusack, A/IT; W. Riley, PC; C. Alsop,
A/CONT, V. Brown, MR; H. Buller, PC

HYPOTHESIS: That many existing numbered reports are not needed in whole or in part. That much is to be learned about the information needs of Bureaus and offices from the informal (unnumbered) reports they require, and that an inventory of reports will contribute usefully to the Task Force.

SCOPE OF ASSIGNMENT:

1. Design a report identification/approval sheet which would indicate the nature, coverage, and cost of the report, its distribution and the use made of the information contained by the recipients, and other information needed for approval of a reporting requirement.
2. Up-date and complete the inventory of AID recurring numbered reports - both USAID (U) and AID/W (W) - so that there is ready at hand for each a copy of the relevant M.O. or other instruction, one or more samples of submitted reports, and a current and completed identification/approval sheet.
3. Develop a comparable inventory of all other recurring (unnumbered) reports required from USAIDs.
4. Analyze the relationships among reports and prepare "hierarchies" showing which reports "feed" which others, which are dependent on data obtained from which.
5. Review the inventoried reports for duplication of information or function, for breach of requirement, for "dead ends" where reports don't seem in fact to be used by the intended clients.
6. Recommend any feasible deletions, simplifications, reductions in frequency, or desirable consolidations.

TARGETS:

1. Format and inventory instructions - April 1
2. and 3. Complete inventory - April 30
4. Analyze relationships - May 15
5. Recommendations - May 30

August 17, 1966

MEMORANDUM TO: Mr. Paul Hazur, MR/RSS
Mr. P. Lindner, MR/RSS
Mr. Glenn Patterson, LA/DP
Mr. Lester Anderson, AFR/ID
Mr. Charles Minor, NESAs/ID
Mr. William Forman, FE
Mrs. Judith Alejos, A/MP

FROM: Bartlett Harvey, Chairman, AID Information Systems Task Force

SUBJECT: AISTF Group #12: Project Procurement

Pursuant to the decision of the Operations Review Committee on July 14, 1966, Group No. 12, Project Procurement, of this Task Force is hereby established with Paul Hazur, MR/RSS as Chairman and the other addressees as members.

Attached is a copy of the scope of assignment and the target dates for action. As of September 1, Donald MacPhail will have taken over as Chairman of this Task Force. I trust you will report to him by then the results of your analysis and your recommendations, including those which are cleared for implementation and those which require policy decision by the ORC or otherwise.

Attachment

ccs: Mr. Gaud, A/AID
Mr. Hall, AA/A
Dr. Moseman, AA/TCR
Mr. Hutchinson, AA/AFR
Mr. Waters, AA/MR

66

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 12 - Project Procurement

PARTICIPANTS: P. Hazur, MR/RSS, Chairman; P. Lindner, MR/RSS, Alt;
G. Patterson, LA/DP; L. Anderson, AFR/ID; C. Minor,
NESA/ID; W. Forman, FE/LOG; J. Alejos, A/MP

HYPOTHESIS: That significant improvements in the speed and effectiveness of AID project procurement can be obtained without major change in organization or procedure through modest changes in policy and practice, and significant improvement in guidance.

SCOPE OF ASSIGNMENT:

1. Review the major faults in current AID experience with project procurement, and to the extent feasible identify the chief causal factors therein. These may include inadequacy of procurement initiating documents, inadequacy of procurement records and reports, ignorance in responsible offices of progress or lack thereof on procurement actions, unnecessarily rigid or cumbersome procedural requirements, inadequate supply planning, etc.
2. Propose appropriate remedial action, including drafting needed guidance or preparing fully staffed papers for presentation through the AISIF Chairman to the ORC in cases where agreement on needed action cannot be reached otherwise.
3. Define the appropriate roles of the Mission, the Regional geographic offices, and of MR in monitoring commodity procurement and taking action in case of difficulty.
4. Actions to be considered include, but are not limited to:
 - a. Preparation and dissemination, by contract or otherwise, of a policy and procedure guidance handbook for supply office personnel tailored specifically for non-American mission employees, possibly to be printed in two languages, i.e. with facing texts in English and Spanish, French, Swahili, or other appropriate language.
 - b. Development of basic procurement and supply records and reports guidelines for inclusion in Section 1490 of the manual orders.
 - c. Ways of grouping commodity and supply orders on PIO/Cs so that the document can be a useful control unit reducing the need for line-by-line monitoring.

GROUP NO. 12 (cont'd)

- d. Reduction of GSA action-reporting to Mission to selected key benchmarks so that mission pipeline tickler systems are manageable and significant.
- e. Local overseas procurement of spares, where feasible, as S.O.P. to reduce inventory cost, reduce downtime, and foster the commercial sales and maintenance network of U.S. equipment exporters.
- f. Use of premium transportation for spares or otherwise whenever so doing will result in significant program savings or gains and reduction in inventory costs.

TARGETS:

- 1. Analysis of problems - October 1
- 2. Recommend actions and roles - November 15

A.I.D. INFORMATION SYSTEMS TASK FORCE

GROUP NO. 3 - AID Program Data - Categories

		<u>Office</u>	<u>Room</u>	<u>Ext.</u>
CHAIRMAN:	Chase, Gordon	PC	3948	4256
Alternate:	Shorter, Kay	A/MP	5891	7631
Members:	Alejos, Judy	A/MP	2642	8283
	Birnberg, Richard	NESA	6731	8303
	Burn, Donald	MP/DSPO	1656	7458
	Claxton, Allan	PC	3889	7761
	Cook, Elizabeth	PC/SRD	A-203,SA-10	7120
	Huntington, Albert	PC/SRD	A-204,SA-10	7141
	Johnson, Frances	LA/BR	4906	5121
	Kosters, Edward	A/CONT	2744	7904
	Newman, Joseph	IS	4898	8073
	Rosenfeld, Albert	AFR	6942	8466
	Shaw, Carroll	FE	3316-A	8071
	Weber, Richard F.	AFR	6758	7924

LOAN DATA:

Terms: Grace years () Grace Int. (%) Repay Years () Repay. Int. (%)

2nd Step:

or Sub-loan: Grace years () Grace Int. (%) Repay Yrs. () Repay. Int. (%)

Sub Loans: Major purpose: (Farm credit ()

Industrial Credit ()

General development ()

Security Recd: () Guaranty: Govt. _____ Other _____ (Specify)

() Pledge

() Chattel Mortgage

() Real Property Mortgage

Name 2nd Step borrower: _____

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LOAN DATA:

Borrower: Government () Mixed Government ()

Private () Mixed Private ()

If Private: U.S. () Local () Other (Specify)

Terms: Grace years () Grace Int. (%) Repay Years () Repay. Int. (%)

Executing Agency: U.S.: AID direct () PASA () Contract ()

Coop. Country: Govt. () Autonomous public agency ()

Local Contractor () 3rd Country contr. ()

Sub Loans: Only Private () Mainly Private ()

Terms S/L: Grace Years () Grace Int. (%) Repay Years () Reapy Int. (%)

Purpose S/L:

	Farm	Labor	Ind.	Comm.	Fin.	Other (Specify)
Institutional support to Pri. Enter.						
Improve market for private enter.						
<u>(Other - specify)</u>						

Security Reqd.: () Guaranty: Govt. _____ Other (Specify)

() Pledge

() Chattel Mortgage

() Real Property Mortgage

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3/16

DRAFT MEMORANDUM

TO: (See Distribution Below)

FROM: O. Harold Folk

SUBJ: Loan Classification for A/CONT Report W-224

It was concluded during discussions of the format of the above report that DEFE would develop and circulate to the Regional Bureaus the criteria according to which a determination would be made as to whether borrowers are "Government", "Private Enterprise", or "Mixed". The Controller would indicate on Report W-224 the type of appropriate symbol.

We believe the following definitions should be used in classifying the borrower:

1. "Government": The borrower is 100% government or public. (To be designated G.)
2. "Private Enterprise": The borrower is 100% private -- including both profit-making and non-profit. (To be designated P)
3. "Mixed": The borrower is part public and part private. We believe that mixed borrowers should be classified in two categories on Report W-224: those whose stock is more than 50% held by the government, or by public enterprises, and hence whose management is predominately public (to be designated MG), and those whose stock is more than 50% held by private individuals or private corporations and hence whose management is predominantly private (to be designated MP).

It should be noted that this classification relates ^{only to a determination} to the nature of the borrower and not to the Agency's fulfillment of the requirements of Section 5

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202 and 252 of FAA regarding the encouragement of economic development through private enterprise. We maintain books on this basis for the internal use of the Agency but this is completely separate and apart from the definition of the borrower is set forth above.

It is requested that, henceforth, the Loan Paper include an explicit statement as to whether the loan is being made to government, a private or a mixed enterprise according to the above definitions.

Distribution:

Miles G. Wedeman, AFR/CDF, Rm. 4639 NS

Selig A. Taubenblatt, FE/CDF. 5312 NS

Philip Glaessner, IA/CD, 2248 NS

Theodore H. Lustig, NESA/CDF, 6929 NS

CC: EKosters, CONT

NBass/CDay:DFPE:mem:3/4/66

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73

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10/16/61

last document

FDL
etc

clerk

illus

Public Admin

10/16/61

Public Safety

10/16/61

75

1. Product - check more than one if applicable

2. Manufacturer - provide name of manufacturer or distributor

3. Quantity - provide quantity of units received

4. Product Name - Multistat Ref. Order 112 1st. 100000

System of Control

Order 112

5. Product Description - provide a brief description of the product

6. Product Label - provide a copy of the product label

7. Product Label - provide a copy of the product label

8. Product Label - provide a copy of the product label

9. Product Label - provide a copy of the product label

10. Product Label - provide a copy of the product label

11. Product Label - provide a copy of the product label

12. Product Label

13. Product Label

14. Product Label

15. Product Label

16. Product Label

17. Product Label

18. Product Label

19. Product Label

20. Product Label

21. Product Label

22. Product Label

23. Product Label

- 1. [Illegible]
- 2. [Illegible]
- 3. [Illegible]
- 4. [Illegible]
- 5. [Illegible]
- 6. [Illegible]
- 7. [Illegible]
- 8. [Illegible]
- 9. [Illegible]
- 10. [Illegible]

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3/14

Det. J.C. paper on project

Expend. Accrued

no. 3
no. 2

3/16 11:00

PROJECT IDENTIFICATION

I. BASIC DATA

Country _____
 PROJECT TITLE _____ No. _____
 Starting FY: Planned _____ Actual _____ Previous Ref. No. _____
 Ending FY: Antic. Last Obligation _____ TA CA
 Antic. Last Disbursement _____ LC PL 480
 NAME of borrower (if loan) _____

II. FUNDING

Foreign Exchange (FX)
 Antic. AID \$ Cost: DL _____ TC _____ SA _____ Total AID \$ _____
 Country FX _____ Other FX _____ Total All FX _____
 Local Currency (LC): (Currency Unit _____, _____ = \$1.00)
 AID-owned or 104(g) _____ 104(e) _____ Cooley _____
 controlled LC: C/P _____ Trust Fund _____ TOTAL AID LC _____
 Country LC _____ Other LC _____ TOTAL All LC _____
 Grant Loan

If Loan: Grace years () Grace int. (%) Repay. years () Repay. Int. (%)
 2nd Step: Grace years () Grace Int. (%) Repay. years () Repay. int. (%)

III. DESCRIPTIVE PHRASES (Locator): (Using 1, 2, or 3 word phrases, write down several index tags of general and specific topics and sub-topics to which this project relates and under which it might be useful to have it catalogued for research, reference, operational, or information purposes. Topics appropriately relate to content and nature of activity, method, recipient groups, location, and other aspects. e.g., (name of contractor), A&E, feasibility study, radio-telex system, intra-country govt. information system, etc.) _____

IV. a. FIELD (Insert "1" in primary, "2" or "3" in other to which project also contributes)

- Agriculture ()
- Health ()
- General Education ()
- General Government ()
- Industry ()
- Power ()
- Transportation ()
- Communications ()

b. PURPOSE (Insert weights for one or more purposes project is intended to serve, such that weights total 100)

- Increase Income _____
- Improve physical infrastructure _____
- Improve economic institutions _____
- Improve non-eco. institutions _____
- Security _____
- U.S. Relations _____
- U.S. Market Development _____

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V. PUBLIC/PRIVATE (Check more than one as needed in mixed situations).

Borrower/grantee: Govt () Autonomous public agency () Local Private ()
U.S. Private () Other Private ()

Executing Agency: AID direct () PASA () U.S. contractor ()
Country Govt. () Country autonomous public agency ()
Local contractor () Other Private ()

Purpose & Effect: Sub loans: only to private () mainly to private ()
Institutional support to private enterprise:
Farm () Industry () Labor () Commerce & finance ()
Improve market for private enterprise:
Farm () Industry () Labor () Commerce & finance ()

VI. PROCESS (What will the technicians or other "input people" financed under this project be doing (1) primarily; (2) in addition?)

() Advice and Analysis

- () feasibility survey
- () sector analysis
- () Project reconnaissance
- () Policy advice
- () Planning advice
- () Research and development
- () _____

() education (small "e", broad concept)

- () Classroom teaching
- () Supervising and training teachers, curriculum development
- () On-job training (3 or more trainees)
- () Methods demonstration and extension
- () _____
- () _____

() Construction

- () Design, A&E
- () Supervision of construction
- () Skilled labor, equipment operation and maintenance
- () _____

() Operations

- () Equipment maintenance and operation
- () Equipment installation and demonstration
- () ~~Rs~~

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2/8/66

MEMORANDUM FOR: The Operations Review Committee

SUBJECT: FAIME Phase B Report

The salient recommendations of the FAIME Phase B Report may be summarized as:

- 1. Immediate installation of a Technical Assistance Project Evaluation Report (TAPER) consisting of a long series of short-answer questions supplemented by a brief narrative section, to be submitted quarterly in replacement of four current project evaluation reports of a narrative nature; (Appendix G of the Report);**
- 2. The field testing and subsequent Agency-wide installation of an ADP data storage retrieval and processing system for the monitoring and reporting of technical assistance activities, based on information to be obtained from existing E-1's, controller quarterly reports of obligations and expenditures, project implementation orders, and the above quarterly project evaluation report. And capable of providing a wide variety of regular reports or rapid ad hoc responses on TA activities;**
- 3. The elimination of 56 current AID reports listed in Appendix A, and the submission at less frequent intervals of 37 other reports; and**
- 4. The establishment of a central Information Management Office in AID to contain initially the Statistics and Reports Division, the Data Systems**

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Planning and Operating Division, and the Communications and Records Management Branch, and various Agency files and records units.

COMMENTS:

1. The TAPER is in my mind an extremely constructive approach to a difficult problem, has been extensively discussed with operating personnel in AID Washington and in two Missions, has the enthusiastic endorsement at least of Jim Grant, and should be moved forward. However, it is imperfect in the form in which it is presented in Appendix G of the FAIME Report in at least three respects. The first page is dubious, I believe we can do better in getting at the very worthwhile issue of a general and comparative evaluation of the overall effectiveness of the project. Second, I believe the physical layout of the questionnaire can be greatly improved so that it would be easier to fill in, to read, and would take less space. Third, any useful complementary ideas from the BAH TA reporting recommendation and the progress monitoring systems evolved in AFR and LA need to be incorporated.

Recommendation: That the Committee authorize me, in cooperation with A/IMS and A/MP, to proceed with (1) improvements in the TAPER questionnaire indicated above, (2) a final check of the revised report with the Regional Bureaus and TCR, and (3) duplication, refinement of instructions, and distribution to at least four test countries with an effective date of March 31 with a view to subsequent refinement and installation Agency-wide effective December 31 of this year or earlier.

2. I recommend the ORC endorse the principle of proceeding with a pilot test of an automated TA information system along the lines sketched in the FAIME "B" report, but I believe we are not ready to

proceed with implementation of the test quite yet. The effect of the test would be greatly increased if the project base on which the existing E-1's, controller quarterly reports, and PIO's rest, could be re-examined in terms of its appropriateness for ADP requirements, and the categorization provided in project identification numbers re-examined to improve its suitability for current Agency requirements for summary information. In addition, further thought needs to be given to utility of an ADP system for handling operational tasks as well as reporting tasks. Finally, confirmation is not yet in from the Bureau of Standards on the suitability of the particular system recommended. Task Force subgroups and A/MP will be looking into these questions during the next several weeks. Contracting for a pilot trial run of an ADP system for technical assistance information in four countries should await results of these analyses, but a positive decision in principle on the desirability soon of such a test would be in order to permit preparatory negotiations to proceed.

On cursory examination I am unimpressed by most of the output reports from an ADP system indicated in Appendix B of the FAIME Report. Such outputs can readily be modified after the system is installed. But before we proceed, more thought is needed (1) as to whether the operational utility of such summary reports is worth the costs involved, and (2) to ensure that the selection of data to be fed the system will produce those summaries which are in fact useful.

3. The FAIME Report recommends (Appendix A) abolition of 56 reports and decreased frequency of 37 others. This recommendation is challenged in several respects by the reporting offices and a cursory scanning of the condemned list revealed a number of surprises. I recommend that the ORC request A/MP to recheck this recommendation with the client's offices to ascertain what purposes are served by these reports, whether alternative sources of needed information are available,

and what costs would arise from abolition of the report. A/MP should report its findings and recommendations to the April meeting.

I am inclined to think that information flows in this Agency are sufficiently important, complex and difficult to require senior reflection in Agency organization and management. However, I suggest delaying consideration of specific organizational changes until the substance is clearer.

/s/

Bartlett Harvey
Special Assistant

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AGENCY FOR INTERNATIONAL DEVELOPMENT
Washington, D.C. 20523

February 9, 1966

MEMORANDUM FOR THE OPERATIONS REVIEW COMMITTEE

FROM: Robert W. Powers, A/MP

SUBJ: Action Assignment #59

A/MP was directed to report on the results of three months' experience with the automated PIO/C Monitoring System. This system presently covers FY 1965 and 1966 Africa procurement by GSA Region 2 (New York), and FY 1966 OPS procurement worldwide. AFR is in process of extending coverage to GSA Region 3 (Washington) and is considering including procurement by the Africa-American Purchasing Center. This would then cover about 90% of all AFR procurement by PIO/C.

THE SYSTEM:

Briefly stated, clerical personnel in GSA, New York, record essential data when a PIO/C is first received. This data is punched on IBM cards by a service bureau and mailed to AID/W where it is stored on magnetic tape. GSA, New York, also reports to AID/W weekly, on punched cards, the status of procurement action on every line item in every PIO/C. The Data Systems Division of A/MP then prints out reports monthly. The process for OPS procurement is basically the same except that the data is recorded in OPS/Washington and key-punched by A/MP.

RESULTS:

Three months is a short time in which to evaluate a data system. However, both AFR and OPS believe that the system is a valuable management tool. Neither office could, they are convinced, produce a record of comparable scope and accuracy without a sizeable increase in statistical staff. Both have, since its inception in October, extended it beyond its original coverage. AFR is, as indicated above, extending it to a second GSA region. Both consider that the information produced by the system is worth the price paid for it. The product--multiple copies of a report on the status of all PIO/C procurement right up to the point of delivery in the country--presently costs OPS and A/MP together approximately one clerical man year of time. The ongoing cost to AFR, for GSA Region 2, is somewhat over \$7,000 a year.

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Both AFR and OPS believe that certain improvements in data collection must be made before judging whether the existing system is entirely satisfactory. For example, provision was made for reporting on the receipt of commodities, but the USAIDs have not thus far been asked to furnish this information regularly and in a form that would serve this particular data system. Work is also needed to improve commodity descriptors. When standard terminology is agreed upon for the various kinds of commodities, for instance, we will be able to produce analytical reports which could aid in projecting commodity requirements.

The revised January report, about to be printed, will be the first one to be reproduced in sufficient copies to distribute to the field. Only after several months use by USAIDs will we be able to make a full evaluation of the effectiveness of the system.

BENEFITS:

AFR/RUA estimates that the AID Liaison Officer with GSA in New York used to spend possibly 90% of his time trying to determine the status of procurement actions. Now, with status a matter of printed record, he spends most of his time on remedial action. Delivery times have been shortened and problems identified before they reached the critical stage.

Further, as pointed out by Mr. Hutchinson in his memorandum of January 27, 1966 to Mr. Gaud on this subject, (and OPS concurs), the report should substantially reduce the flow of cables and airgrams, and even telephone calls from overseas requesting status information or action on procurement.

Most important, of course, should be better coordination of material with the rest of the AID program, and better control of the commodity funding pipeline.

SUMMARY:

1. The PIO/C commodity status reporting system appears to be sound.
2. The data input can still be improved.
3. The reporting system is relatively inexpensive to maintain.
4. AFR and OPS management believe that it is of considerable value to them but they still have some way to go in improving and exploiting the system.

Clearance in draft:
R. Brougham, OPS
L. Anderson, AFR
R. Forsberg, AFR/RUA

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STATUS REPORT ON PENDING ACTIONS
ASSIGNED BY THE
OPERATIONS REVIEW COMMITTEE
as of February 4, 1966

ACTION NUMBER		ASSIGNMENT	ACTION OFFICE	STATUS
NEW	OLD			
#4	-	<u>Standard Loan Provisions</u> Develop standard loan provisions, implementation letters and deviation procedures for Agency-wide use for all types of loans.	AA/DFPE	Issues related to standard loan provisions to be presented at ORC March meeting.
#6	-	<u>Delinquency Status Review</u> Add a delinquency status review to the checklist of criteria for Development Lending in M.O. 1242.1.	AA/DFPE	Being held pending completion standard loan agreement provisions.
#19	1-6	<u>Loan Implementation Delay</u> Explore ways of compressing time interval between (a) authorization and obligation, and (b) obligation and first disbursement.	AA/DFPE	Progress report being prepared.
#27	3-5	<u>Overall Manpower Procurement</u> Consult with TAC; get draft P.D. cleared; submit issues, if any develop, to ORC.	A/MP	Proposed P.D. submitted to A/AID for approval 8/27.
#28	3-6	<u>Use of Personal Services Contracts</u> Draft and issue M.O. governing the use of such contracts.	A/PA	M.O. completed and authorized for publication, which being delayed until action #27 completed.

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ACTION NUMBER		ASSIGNMENT	ACTION OFFICE	STATUS
NEW	OLD			
#20	3-7	<u>Criteria for Selection of Government Agencies under PASAC</u> Develop and refine criteria for such selection in preference to private source.	ENGR	Revised draft being sent to Regional Bureaus for clearance.
#34	4-3	<u>AID Commodity Audit Policy Draft P.D. on audit and bases for refund claims concerning AID-financed commodities.</u>	AA/PC	Audit portion will be included under Action #62; paper on refund portion being prepared.
#40	5-1	<u>Geographic Source Requirements for Equipment Spares</u> Revise M.O. 144.1 and 144.1.1 to encourage local procurement of equipment and spares to extent feasible.	AA/MR	All replies to proposed draft received and being considered.
#41	5-2	<u>Indirect Cost Reimbursement and Predetermined Indirect Cost Rates for University Contracts</u> Expand the use of predetermined rates for university contracts.	A/CONT	DOD making indirect cost reimbursement studies at 6 universities, and AID performing 3 selected audits at request BOB preparatory to revising pertinent BOB regulations. Expect to complete by March 31.

ACTION NUMBER		ASSIGNMENT	ACTION OFFICE	STATUS
NEW	OLD			
#42	5-3	<u>Indirect Cost Reimbursement and Predetermined Indirect Cost Rates for University Contracts</u> Make inventory of AID contracts with unresolved cost rates and assign a single contracting officer to each to resolve the issues.	AA/MR	Action memo for A/AID signature being prepared.
#44		<u>Overseas Recruiting Practices</u> Make a study of recruiting and placement practices for personnel for overseas assignment.	A/PA	To be considered by ORC Feb. 10.
#48		<u>GSA Depot in Bangkok</u> Evaluate merit of Mission suggestion that GSA depot be established in Bangkok.	AA/MR	Completed study of suggestions received 1/31 by MR. Now being considered.
#50		<u>Direct-hire Personnel</u> Reexamine role and responsibilities of direct-hire personnel.	A/MP	Discussed by Technical Assistance Committee on 9/17. Memo to A/PA requesting report awaiting MacPhail's signature.

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ACTION NUMBER		ASSIGNMENT	ACTION OFFICE	STATUS
NEW	OLD			
#51		<u>Audit of Third Country Contracts</u> Prepare message to Mission Controller on AID policy and procedures for auditing third country contracts.	A/CONT	All comments on proposed list received and being collated.
#55		<u>Targets for Fund Obligations</u> Prepare Memo and Airgram for A/AID outlining targets for obligations of funds and schedule for quarterly review of obligations.	AA/PC	Being prepared by PC.
#58		<u>Procurement Delays</u> Discuss with ARA-LA establishment of central contact point in Bureau to deal with procurement problems and assignment of AID personnel to each CSA region.	AA/MR	Meeting held with ARA-LA. MR preparing recommendations for ORC March meeting.
#59		<u>Procurement Delays</u> Study use of mentoring forms for following procurement actions.	A/MP	To be considered by ORC Feb. 10.
#60		<u>Procurement Delays</u> Study feasibility of establishing a "pool" of personnel knowledgeable in procurement practices available for TDY assignments to Missions.	AA/MR	Report being prepared for ORC March meeting.

ACTION NUMBER		ASSIGNMENT	ACTION OFFICE	STATUS
NEW	OLD			
#31		<u>Revision of CAP</u> Study possibilities for improving presentation of the CAP.	Mr. Harvey, A/AID	To be con- sidered by ORC Feb. 10.
#32		<u>Fiscal Policy Task Force</u> Consider the feasibility of establishing a FPTF similar to the Procurement Policy Task Force.	AA/A and A/CONT	Progress report to be made at ORC March meeting.

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ORC MINUTES 65-8, Dec. 22, 1

EXTRACT

#45 and #61 ACTION

2. Proposed Changes in the CAP (ORC Assignments #45 and #61)

The Committee considered the memorandum of December 20 to the ORC from Mr. Fite. There was general agreement that major revision of both the content and timing of Part II of the CAP is required, and extensive discussion as to whether it is preferable to undertake one aspect of such revision immediately or to delay until all specific changes are decided upon. It was agreed that current instructions to the Missions concerning preparation of the CAP would not be changed until agreement had been reached on a revised Part II, and that an effort will be made to have Part II submitted only after Part I of the CAP has been submitted and approved by AID/W.

Accordingly, the Committee established the following guidelines for consideration of this problem: (a) redirect Part I of the CAP toward sectoral analyses, areas of concentration, and related studies; (b) simplify, or perhaps even eliminate, the present format of Part II of the CAP; (c) determine which information needs to be submitted to Washington and should be included in a new or revised Part II; such information should be consonant with Congressional and PPBS requirements; and (d) the three foregoing decisions be reached in time to instruct the Missions to make their next submission of Part II, as revised or superseded, accordingly.

The Committee requested that Mr. Harvey, PC, be made available as soon as possible after January 1, 1966, to work on this with A/MP. Dr. Moseman requested that TCR be given an opportunity to contribute to this work also. The Committee instructed that a progress report be made at its February meeting.

#45 and #61 ACTION: Mr. Harvey & A/MP

3. Fiscal Policy Task Force

The Committee discussed the purposes to be served by the Fiscal Policy Task Force proposed in Mr. Hall's memorandum of December 14 to the Committee. It was pointed out that this would give impetus to efforts to resolve problems in this area, many of which stem from procedures which need up-dating.

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December 20, 1965

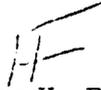
MEMORANDUM FOR THE OPERATIONS REVIEW COMMITTEE

SUBJECT : ORC Action Assignments 45 and 61

Attached is a status report on ORC Action Assignments 45 and 61 which related to possible need for revision in Part II of the CAP.

The report relates the problems of Part II of the CAP to the more fundamental problem of redesigning the Agency's program formulation, program execution and associated systems and supporting them with a modern information system.

This report was drafted by me in close collaboration with Robert Macy and Barlett Harvey and represents our joint views.


Harry H. Fite
A/MP

Attachment a/s

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STATUS REPORT

MANAGEMENT INFORMATION SYSTEM STATUS REPORT AND PROPOSAL (including status of GAC Action Assignments 45 and 61)

I. THE PROBLEM

This paper addresses the subject of possible modifications or elimination of Part II of the CAP. The first conclusion we reached is that this subject cannot be considered by itself. Part II of the CAP is just one part of a highly interdependent system of program planning and execution. Therefore, since any changes made in Part II of the CAP will affect other parts of the system, the process of analysis should deal with the whole complex.

II. DISCUSSION

While Part II of the CAP should only be finally changed in the context of the total system, it is clear that it does have certain deficiencies. These arise from the fact that we have attempted to make this single vehicle serve too many different purposes. It is supposed to serve as a work plan, a budget forecast, a programming document and as one of the bases for the Congressional presentation. This is too much to expect of a single document. Hence, changes in the format are no doubt desirable. Since the information that it contains has to be obtained in some way or other, however, some counterpart of this vehicle is required.

It is our impression that the strongest proponents of changing this document are thinking of the role it has played in the program formulation

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process. We would agree that the detail it now contains may not be needed at that stage of the programming process. If Congress would accept sector plans with merely illustrative details, the preferred approach might be to review only Part I in the Spring. This would lay the basis for project planning and the more detailed submissions could be made in the Fall.

However, recognize that when we talk about project work plans, we are talking - officially, if not universally in practice - about the E-1 tables and the narrative project descriptions which appear in Part II of the CAP. And work plans we must have. As we more fully develop the program execution part of the total programming system, the importance of work plans becomes even more apparent. The Boon, Miller and Hamilton Report on Management Reporting refers to work plans and makes the assumption that they will be available as a base line to report against. The work plans they have in mind appear in Part III of the CAP.

Again, the FAIME report - Phase B - which also relates to the program execution stage of the programming cycle and deals in particular with technical assistance, assumes the existence of work plans. In its appendices it sets forth in detail all of the information to be picked up for its base base. Much of this comes from the E-1s. Finally, Colonel Lincoln's report on Evaluation makes a similar assumption about the availability of work plans.

In addition, to this role as the source of project information for progress reporting, the E-1 information plays a part in project initiation and execution. In AID's system these processes depend on complementary action at two points: the Mission and supporting actions in Washington. The information about component requirements - people, communities, local currency,

etc., - which is the basis for such Washington supporting action is contained in tentative form in Part II of the CAP.

However, we feel that there is a more fundamental problem in which the GRC should focus. Namely, the Agency's program formulation and execution system and its associated reporting systems seen as a whole. Properly redesigned, this system would: (a) be supported by a total information system using the most modern methods of information handling; (b) marry the main-stem program formulation and execution system to three related information systems: the financial records and reports of the Controller, the manpower/personnel reporting system and the system of miscellaneous reports now operated by the Office of Statistics and Reports (as revised as the result of the study now underway).

The program formulation system, at least through Part I of the CAP or the IAS has been relatively well thought out. This part should pose little problem to the process of redesigning our total system. From this point on through the successive stages of approval, execution and evaluation considerable work needs to be done before we will have an optimum overall system. In this connection, the requirements of the Budget of the Budget's planning, programming, and budgetary system, must serve as a guide in our systems design effort. For example, official adoption of major goal categories for this purpose will affect planning, programming and presentation documents and the information required to produce these documents. Again, the extent and

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speed of modernization through automation that is desired will influence the planning process.

The most important step required immediately is to formulate a satisfactory plan for doing the system redesign job. There are several important parts of the total system that have been developed concurrently that must now be fitted together in an organic whole. For example, we now have available proposals from Dunlap and Associates, Eoon, Allen and Hamilton, and the Evaluation Task Force headed by Colonel Lincoln. Dunlap and Associates have recommended an information system for technical assistance which suggests a new approach to program execution in the technical assistance area. EAH recommendations on management reporting system contribute additional ideas on the same subject. Finally the findings of Colonel Lincoln's task force also bear on some of the same problems. While these three undertakings were coordinated throughout by the Administrator and the Assistant Administrator for Administration and his staff, they were carried on with a considerable degree of independence during the conceptualization phase. Now, however, that we are at the stage of implementing these proposals, the ideas originating from these several sources need to be brought into focus by some single focusing mechanism.

Similarly, several different in-house groups have recently been established to develop ideas on the merits of recommending to the Bureau of the Budget's program budget system, how our Statistics and Reports Division's products should be revised and how to improve Part II of the CAP.

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In the context of a total systems concept, these matters clearly are related not only to one another and to the findings of the consultants but to other in-house initiatives like the new reporting system contemplated by some of the Bureaus.

III. ACTION PROPOSED

The ORC should establish a single organizational entity to bring into focus all of the inter-related initiatives now going forward independently. This entity should be representative of those groups in the Agency whose prime concern is the Agency's programming and information systems. This means AA/PC and the Bureau program offices from one point of view and A/MP from another.

Therefore we recommend:

- (1) That AA/PC and A/MP - the two offices which by virtue of function must see the Agency as an organic whole - be given joint responsibility for development of a modernized system for program formulation, execution, and associated reporting under the direction of the Special Assistant to the Administrator. Naturally, this work would be done with the closest possible collaboration of the Bureau program offices and other affected organization units. Since systems planning is A/MP's chief stock in trade, it should organize and provide a secretariat for this effort.
- (2) That the implementation of any suggestions about details of the system should await: a) successful resolution of certain current disagreements about system fundamentals; b) formulation of at least the broad outlines of a total systems concept.

- (3) That this work be performed under the monitorship of the ORC which would add a member from the Office of Program Coordination.

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OPERATIONS REVIEW COMMITTEE

SUMMARY MINUTES AND COMMITTEE ACTIONS

MEETING No. 65-7

Tuesday, Nov. 9, 1965

EXTRACT

2. Report from Dr. Macy on Discussions with Mission Directors

A.

B. Dr. Macy said that it was felt that Part II of the CAP was too complicated and incorporates too much data which is not used or is submitted before it is needed. He suggested that Part II of the CAP concentrate particularly on sectoral analyses and that details for new proposals be submitted after the proposal in general terms has been accepted. He said that this had been discussed with representatives of PC and A/MP who agreed that some changes would be desirable.

One aspect of changing the CAP format is the effect on the Congressional presentation. Most of the presentation concerns ongoing projects and most of the data for these already are in Washington. It was mentioned that tying Part II of the CAP to the program process may be a fundamental error. It was generally agreed that the present format of the CAP is too much of a burden on the Missions and does not serve the essential purposes in Washington it was intended for. Some simplifications are required in its present form which largely is a result of accretion and ad hoc additions over the past decade. It was pointed out that PC and MP are working on this problem already, and the Committee requested that a progress report of their work be presented at its next meeting.

#61 ACTION: PC and MP

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March 25, 1966

MEMORANDUM TO: Mission Directors and Project Coordinators of Nigeria, Panama, Philippines and Turkey

FROM: Bartlett Harvey, ^{JBA} Group Chairman, A.I.D. Information Systems Task Force

SUBJECT: Technical Assistance Project Evaluation Report (TAPER)

The attached report form, and your cooperation in completing it, are parts of an experiment aimed at improving the ability of A.I.D. to monitor the progress of technical assistance activities, in part through expanded use of automated data processing equipment. It is our hope to be able both to improve the timeliness, amount, and significance of operational information and to reduce the amount of your time which is diverted from substantive activity to paperwork.

TAPER is not a complete report but an element in a reporting system. The system relies on planning and work schedule information to be picked up from E-1s, the ProjAg, Project Implementation Orders and SPARs, and on financial data to be picked up from the quarterly Controller reports of obligations and expenditures. When information on current activity on the project, taken from the attached TAIFR, is added to the store of data in the system we hope to be able to obtain from it useful overall summary information on project progress, identification of bottlenecks causing endemic delays, and a contribution to judgment on the actual contribution of AID programs to AID objectives. The submitted copies of the report will not be widely circulated, but will serve to keep the Desk and the Regional ID or Technical office abreast of major problems and successes. The TAPER is also designed with the aim of being useful to you in framing and summing up your review of progress to date and judgment of needed action.

One of the prime purposes of this pilot effort is to test this proposed report form. This means that we want from you not only a serious effort to use it just as it is and according to the attached instructions, but your reaction to it in as specific terms as possible with a view to its clarification and improvement. Do you find it useful to you as project coordinator or Mission Director? Do you find any of the questions onerous, vague, or purposeless? Are there other aspects of monitoring project performance which you have found to be important which should be included in this questionnaire? Please pass your comments on the TAPEP and your concrete suggestions for project performance evaluation to the Mission Program Office for forwarding to John DeWilde, Office of Management Planning, AID/Washington.

Attachment

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TECHNICAL ASSISTANCE PROJECT EVALUATION REPORT

1. Cooperating Country 2. Data Current as of:
 3. Project Title 4. Project Number

5. Date original ProAg Executed 6. Estimated Date of U. S. Physical Completion 7. Estimated Date of U. S. Financial Completion

8. IMPORTANCE RANKING BY MISSION DIRECTOR
 In terms of overall importance to the achievement of U. S. objectives in this country, this project falls in the:

a. Lowest Quartile b. 3rd Quartile c. 2nd Quartile d. Top Quartile
 of all AID dollar TA projects in all activity fields in this country (exclude Technical Support). One fourth of the number of projects must be ranked in each quartile.

9. CONTRIBUTION - The actual contribution of the project to the following U. S. objectives during the last six months is:

a. U. S. Objectives	b. Rating					
	1. Not Relevant	2. Negative	3. None	4. Modest	5. Good	6. Outstanding
1. Directly Increase Production						
2. Improve Infrastructure						
3. Improve Economic Institutions						
4. Directly Improve Personal Welfare						
5. Improve Social-Political Institutions						
6. Security						
7. U. S. Relations						
8. U. S. Commercial Interest						

10. ACHIEVEMENT OF ACTIVITY TARGETS

a. How well are the activity targets of the project being achieved?
 1. Unsatisfactory 2. Marginal 3. Adequate 4. Good 5. Outstanding
 b. In general, project execution in relation to schedule is:
 1. Seriously behind 2. Slightly behind 3. On time 4. Ahead

11. MISSION DIRECTOR RECOMMENDATION: (Check one)

- a. This project should be discontinued earlier than originally planned. If checked, when? _____
- b. This project should be evaluated in depth as a basis for determining its effectiveness, future scope and direction.
- c. This project should be continued as currently planned.

PROJECT COORDINATOR	13. APPROVED BY MISSION DIRECTOR
Name _____	Signature _____
Title and Grade _____	Date _____

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I. ACCOMPLISHMENTS

- A. List all significant accomplishments attributable to this project during the six months covered by this report. Be succinct, explicit and, where possible quantitative. For each accomplishment indicate whether it is substantially the same as more than, or less than planned.
- B. List in comparable realistic terms expected accomplishments during the next six months.

II. TECHNICIANS - U. S. and Third Country

 None

A. ON BOARD AND RATING

Enter the number of technicians in each category.

1. Type of Technician	2. Total on Board		3. Rating of Performance					
	a. Scheduled	b. Actual	a. Unsatisfactory	b. Marginal	c. Adequate	d. Good	e. Outstanding	f. Not Rated
a. U. S. Contract								
b. U. S. PASA								
c. U. S. Direct Hire								
d. Third Country								

B. CONTRACTORS

1. Contract Number	2. Name of Contractor	3. Type of Contractor
a.		
b.		
c.		
d.		
e.		

C. PARTICIPATING AGENCIES

1. PASA Number	2. Name of Participating Agency	3. Organizational Entity
a.		
b.		
c.		

D. Indicate the number of each type of technician with any of the following problems which have had a significant adverse effect on the project during the past six months.

1. Type of Technician				2. Problem
U. S.		Third Ctry.		
a. Contract	b. PASA	c. Direct Hire	d.	
				a. Inadequate technical knowledge
				b. Inadequate knowledge of country and culture
				c. Language barrier or translation difficulties
				d. Health problems resulting in evacuation or excessive absenteeism
				e. Family or emotional problems
				f. Negative attitude toward project
				g. Poor personal relations with U. S. technicians
				h. Poor personal relations with Third Country technicians
				i. Poor personal relations with counterpart technicians
				j. Poor personal relations with local citizenry
				k. Inadequate communication between project technicians and Mission
				l. Lack of occupational adaptability (inability to apply technical knowledge to country situation)
				m. Other (Specify in Narrative Section)

III. PARTICIPANTS

None

A. Give the number of participants falling in each of the following categories by the location of training.

1. Location of Training		2. Participant Program Status
a. U.S.	b. Third Country	
		a. Participants have received training and returned to country from start of project to the beginning of this reporting period
		b. Participants have returned to country during this six month reporting period
		c. Participants are being trained
		d. Participants are being processed for training
		e. Participants have yet to be selected
		f. Participants will have been trained when project terminates (Item f. is the sum of a. through e.)

B. In general, the participant training component of this project in relation to schedule is:

1. Seriously behind 2. Slightly behind 3. On time 4. Ahead

C. Of the returned participants, indicate the number whose performance in their job is rated as follows:

1. ___ Unsatisfactory 2. ___ Marginal 3. ___ Adequate 4. ___ Good
 5. ___ Outstanding 6. ___ Not Rated

D. Indicate the number of returned participants who fall into each of the following categories:

1. ___ Have undesirable character traits
2. ___ Are hostile to the United States
3. ___ Received inadequate training in the United States
4. ___ Received inadequate training in a Third Country
5. ___ Are assigned to positions below their level of competence
6. ___ Are assigned to positions above their level of competence
7. ___ Are unable to get their ideas accepted by their supervisors
8. ___ Are using their training almost as planned
9. ___ Are employed in higher rank positions than planned
10. ___ Are not being utilized to take good advantage of their training
11. ___ Have been lost to the project but are using their training
12. ___ Are no longer in contact with the Mission

 IV. AID DOLLAR FINANCED COMMODITIES None

 A. Quality of commodities delivered for use in this project in general is: (Check)

- 1.
-
- Unsatisfactory 2.
-
- Marginal 3.
-
- Adequate 4.
-
- Good 5.
-
- Outstanding
-

 B. Use being made of commodities in this project in general is: (Check)

- 1.
-
- Unsatisfactory 2.
-
- Marginal 3.
-
- Adequate 4.
-
- Good 5.
-
- Outstanding
-

C. U. S. Government Excess Property

 1. Has any such property been delivered to date for use on this project? Yes No

2. Original acquisition cost of such property: \$ _____

3. Has the quality of the excess property satisfied the needs of the project?

-
- Yes
-
- No If no, briefly describe problem in the Narrative Section.
-

D. Are there any commodity problems which have had a significant adverse effect on the project during the past six months? (Check)

- 1.
-
- Late delivery of commodities to port of entry
-
- 2.
-
- Difficulty or serious delays in transporting commodities from port of entry to project site(s)
-
- 3.
-
- Lack of adequate storage facilities
-
- 4.
-
- Severe damage in shipment
-
- 5.
-
- Commodities have arrived but are not being used
-
- 6.
-
- Significant portion lost or stolen
-
- 7.
-
- Commodities received did not meet PIO specifications
-
- 8.
-
- Related facilities not ready to receive commodities
-
- 9.
-
- Unsuitable to climate/environmental conditions
-
- 10.
-
- Unnecessarily sophisticated for use by country nationals
-
- 11.
-
- Lack of satisfactory maintenance facilities and sufficient spare parts
-
- 12.
-
- Other (Specify in Narrative Section)
-

E. OVERDUE COMMODITY DELIVERIES

If any deliveries on any PIO/C are overdue 120 days or longer, check the responsible authorized procurement agent and describe the situation in the Narrative Section.

- 1.
-
- Cooperating Country 2.
-
- Mission 3.
-
- GSA 4.
-
- Other: _____

F. List the PIO/Cs issued for this project and the dollar value of commodities authorized, ordered and delivered. Check Column 2 for PIO/Cs on which deliveries are 120 days or more overdue.

1. PIO/C Number	2. Deliveries 120 Days Overdue	Dollar Value (000)		
		3. Authorized	4. Ordered	5. Delivered
a. Total Number Completed PIO/Cs:	/ / / / / / / /			
b.				
c.				
d.				
e.				
f.				
g.				
h.				
i.				
j.				

V. COOPERATING COUNTRY

In general, the country government's participation in this project is:

1. Unsatisfactory 2. Marginal 3. Adequate 4. Good 5. Outstanding

B. Check country problems of a serious nature having a significant adverse affect on this project's progress in the last six months:

1. ___ Disagreement between government ministries
2. ___ Disagreement between government officials within a single ministry
3. ___ Change in executive leadership
4. ___ Sufficient cooperating country funds have not been provided
5. ___ Necessary enabling legislation is not being developed/passed
6. ___ An organization has not been established or staffed as agreed
7. ___ Excessive red tape, bureaucratic delays, or important deadlines missed
8. ___ Delays in the clearance of U. S. Technicians
9. ___ Qualified counterpart technicians have not been assigned
10. ___ Qualified counterpart technicians have not been assigned on time
11. ___ Qualified participant trainees are not available
12. ___ Qualified participant trainees have not been nominated
13. ___ Qualified participant trainees have not been nominated on time
14. ___ Maintenance of facilities and equipment is sub-standard
15. ___ Local political differences
16. ___ Tribal, class, or caste conflicts
17. ___ Cultural resistances to changes
18. ___ Cooperating country personnel not receptive to U. S. technician major recommendations
- ___ Other (Specify in Narrative Section)

C. Mission estimate of attitude toward the project. If there are significant differences between government entities, check Mixed and explain in Narrative Section.

1. Cooperating Country	2. Rating Categories				
	a. Negative	b. Mixed	c. Passive	d. Favorable	e. Enthusiastic
a. Government in General					
b. Citizens Being Reached					

D. Take-over and Continuation Plans of the Cooperating Country

1. Does the Cooperating Country have take-over and continuation plans?

- a. Yes b. No c. Inapplicable

2. Cooperating Country attitude with respect to take-over and continuation of the project:

- a. Uncertain b. Intends to take over c. Anxious to take over

3. If take-over stage is in progress, are Cooperating Country's activities proceeding satisfactorily?

- a. Yes b. No c. Inapplicable

E. Counterpart Technicians

1. Indicate the number in each of the following categories:

- a. ___ On Board b. ___ Unsatisfactory c. ___ Marginal d. ___ Adequate
e. ___ Good f. ___ Outstanding g. ___ Not Rated

2. Indicate the number of counterpart technicians in each of the following areas which have had a significant adverse effect on the project during the past six months:

- a. ___ Inadequate technical education
b. ___ Inadequate technical experience
c. ___ Inadequate leadership and supervision skills
d. ___ Working only part time, whereas full time is required
e. ___ Technicians have been assigned and then transferred
f. ___ Unwillingness to work or travel in rural or provincial areas
g. ___ Pay and allowances are too low
h. ___ Maturity and age
i. ___ Motivation
j. ___ Morale
k. ___ Other (Specify in Narrative Section)

F. Total Cooperating Country Financial Contribution Directly to Project

1. Type of Contribution	In Dollar Equivalents (000)		
	2. Total Planned for Life of Project	3. Actually Committed to Date	4. Disbursements to Date
a. Cash			
b. In Kind			
c. TOTAL			

G. Were the contributions of the cooperating country over the past six months reasonably in accordance with agreements?

Yes No If no, discuss problem in Narrative Section

VI. PROJECT SUPPORT

A. Rate the backstopping for this project as shown below:

1. Type of Backstopping	2. Rating Categories				
	a. Unsatisfactory	b. Marginal	c. Adequate	d. Good	e. Outstanding
i. Timeliness	1. AID/W				
	ii. PASA				
	iii. Contractor				
b. Quality	i. AID/W				
	ii. PASA				
	iii. Contractor				

B. Check any backstopping deficiencies which have had a significant adverse effect on the project's progress in the last six months:

1. Backstop			2. Deficiency
a. AID/W	b. PASA	c. Contractor	
			a. Technicians have not been recruited on schedule
			b. PASA/Contract negotiations have not been concluded on schedule
			c. Participant call forward dates have been delayed
			d. Commodities have not arrived on schedule
			e. Approvals and guidance required have been significantly delayed
			f. Information and technical support have been inadequate
			g. Actions currently pending are impeding project progress
			h. Other (Specify in Narrative Section)

VII. GENERAL (If answer is Yes to any of the following, describe in Narrative Section)

Yes	No	
		A. Are there any significant problems or causes of delay in this project not already covered in this report?
		B. Has this project revealed the need for technical aids, e.g., pamphlets, materials or equipment, which are not currently available from back-stopping sources?
		C. Has this project revealed any requirement for research to be financed by AID/W?
		D. 1. Does the project involve participation of organizations or countries other than AID and the cooperating country?
		2. If the answer to D.1. is Yes, are there any significant personal, logistic, technical, or financial problems resulting from this arrangement?
		E. 1. Does the project have significant characteristics transferrable to other countries?
		2. Are there important lessons (positive or negative) to be learned from this project?
		3. Has the project employed any unusual techniques, devices, or tools from which others may profit?
		F. Do any aspects of the project lend themselves to publicity (newspaper, magazine, television, or films) in the United States?
G. Indicate the number of times in the reporting period the project site(s) was visited by each of the following:		
1.	_____	Project Coordinator
2.	_____	Local Mission U. S. Personnel
3.	_____	AID/W Personnel
4.	_____	U. S. VIPs

VIII. NARRATIVE SECTION

Organize this section to correspond with the order of the structured portion of the TAPER. Identify each narrative statement by the appropriate section and item number.

INSTRUCTIONS FOR COMPLETING THE
TECHNICAL ASSISTANCE PROJECT EVALUATION REPORT (TAPER)

PILOT TEST 1966

GENERAL REMARKS

The TAPER is one of several elements of the proposed Technical Assistance Information System now being put through a six-month pilot test in four countries (see Dunlap and Associates Report 551-4 "Technical Assistance Information System" October 31, 1965). The pilot test will hopefully lead to a standard, easily-usable, worldwide, computer-based information system for technical assistance projects and eventually be a model for other types of AID assistance information systems.

The present TAPER design is not a final version. During the pilot test, however, no changes can be made in the form. The instructions must be adhered to closely. This is essential for uniformity of data in the computer. The form will undoubtedly be improved in many respects after the pilot test is completed. In fact, everyone working with the TAPER during the pilot test is asked to be critical of the form and the instructions. Minimally, we want to know what:

1. definitions or meanings are unclear
2. should be added
3. should be omitted
4. should be revised
5. is too difficult to report or unattainable.

Constructive suggestions and specific proposals for improvement are cordially invited.

The TAPER when received in AID/W is to reflect the Mission Director's official view of the project. For this pilot test the TAPER will cover the six-month period, October 1, 1965 to March 31, 1966. Three copies (the original to the pilot test group, one to the country desk and one to the regional technical office) are to be received in AID/W for each project as soon after March 31 as possible, and no later than July 1, 1966. It would greatly help the test if most of the reports could be received well before that date. This is a crucial deadline for getting the data punched and into the computer.

A TAPER must be completely prepared for each active technical assistance project. An active project is one for which (a) a ProAg or other obligating document has been executed prior to the end of the six-month reporting period, and (b) physical completion (as defined in Face Sheet Item 6, below) has not taken place prior to the start of the period. For Technical Support, the TAPER will cover only those items which the Mission believes to be applicable.

FACE SHEET

1. Cooperating Country: For each TAPER enter as appropriate the name of (a) the country for country program projects, (b) the region for regional projects, and (c) "inter-regional" for projects sponsored by TCR and other AID/W staff offices.
2. Data Current as of: The TAPER is to be prepared semi-annually; standard cut-off dates will be established when the system is fully operational. For purposes of the pilot test the TAPER will cover the six-month period October 1, 1965 through March 31, 1966. For the pilot test report, insert March 31, 1966 in Block 2. This date must be the same for all project TAPERS for all countries in order to assure comparability of data for summary purposes.
3. Project Title: Enter the complete project title as it appears in Block 5 of the E-1.
4. Project Number: Enter the project number (see M.O. 1095.2) as shown in Block 4 of the E-1 and Block 1 on the Project Agreement (ProAg).
5. Date Original ProAg Executed: Enter the date (month, day, and year) on which the original Project Agreement was executed as shown in Block 10 of the ProAg.
6. Estimated Date of U.S. Physical Completion: Enter the estimated date (month and year) the last component of U.S. participation will be complete, e.g., whichever comes last--the last participant trainee returns to his country, the last technician departs the cooperating country, or the last U.S.-financed equipment is installed. Ordinarily, this date will be earlier than the U.S. Financial Completion Date.
7. Estimated Date of U.S. Financial Completion: Enter the estimated date (month and year) on which the last expenditure will be made against U.S. dollar funds for this project. This should be a realistic estimate not constrained by the three year limitation on the Final Contribution Date which appears in Block 10 of the ProAg.
8. Importance Ranking by Mission Director: The Mission Director is to complete this item on all TAPERS. Rank each active technical assistance project into one of the four quartiles.

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An active project is defined in General Remarks above. Twenty-five percent of the total number of projects--excluding "Technical Support"--must be ranked in each quartile. If the total number is not divisible by four, then the number of projects in each "quartile" must not differ from other quartiles by more than one project.

To arrive at the relative importance of individual projects in relation to other projects, the Mission Director should be primarily concerned with evaluating the contribution which the project is designed to make in achieving U.S. objectives in the country as stated in the CAP/LAS rather than the merits of the specific targets of the project or its progress to date.

9. Contribution: This section is designed to record the consensus of the Mission's judgment concerning the contribution which the project has in fact made during the six-month reporting period to various U.S. objectives which projects may serve. Although no project is expected to make a significant contribution to all of the indicated objectives, most projects will, in fact, be contributing to more than one of these objectives. The standard of judgment is not the measurement of performance against stated or planned objectives, but should reflect the Mission's current evaluation of the contribution actually being made by the project to each of the pertinent objectives regardless of the planned intent.

It is our hope to be able to evaluate in systematic, although somewhat arbitrary, categories the pattern of objectives actually being achieved against the approved overall pattern of U.S. objectives for the country as set forth in the CASS and in subsequent project approvals. Inasmuch as most of the TAPER is directed to the measurement of performance and problems in terms of activity components and schedules, Item 9 is an effort to get at the extremely difficult area of substantive accomplishments in terms of major U.S. objectives.

a. U.S. Objectives

For each project, rate the contribution to the eight listed objectives during the six-month period. The eight objectives are defined as follows:

1. Directly Increase Production: The project made a direct contribution to an increase in income-producing activity, e.g., contributions to increased farm production or increased industrial output.
2. Improved Infrastructure: The project made a contribution toward the establishment, expansion or improvement of physical facilities which will be instrumental in directly improving production or consumer welfare, e.g., roads, irrigation works, communications, power systems, school buildings, and health centers.
3. Improve Economic Institutions: The project assisted in the establishment, expansion, or improved quality of human and social institutions which will be instrumental in increasing the amount and efficiency of production or distribution, or in improving consumer welfare, e.g., planning agencies, credit institutions, productivity centers, and educational activities.
4. Directly Improve Personal Welfare: The project contributed directly to consumer satisfaction and sense of well-being, e.g., through assistance to self-help housing, eradication of malaria and communicable diseases, or improved incomes for workers and farmers.
5. Improve Social-Political Institutions: The project contributed directly to the improvement and effectiveness of human institutions for resolving non-economic problems, inability to reach a consensus, lack of leadership, or inadequate government, e.g., support of labor organizations, improvement of community institutions, or the contribution of an effort for malaria eradication to public administration or of farm extension activities to village organization and initiative.
6. Security: The project directly or indirectly reduced the need for or contributed to the effectiveness of military or paramilitary agencies in maintaining law and order, and protecting the citizens from violence and subversion.
7. U.S. Relations: The project provided "leverage" for policy concessions desired by the U.S. and/or contributed to a desire on the part of leadership elements in the country to be associated with the U.S. policies.

8. U.S. Commercial Interest: The project contributed to the establishment, maintenance or expansion of a preference in the country for U.S. commercial exports, e.g., demonstrations and training on superior U.S. equipment, the establishment of industries dependent on semi-manufactured goods of which the U.S. is a competitive supplier or the development or extension of efficient commercial relationships with U.S. exporters.

b. Rating Categories

For each objective a check is to be placed in the box under the applicable rating as defined below:

1. Not Relevant: If the project was not expected to and in fact has not contributed to an objective listed, check this box.
 2. Negative: If, during the reporting period, the project was burdening country resources, disrupting old institutions more than it was building better ones, or was causing frustration to the extent that it was a drag on other aspects of our relations with the country, check this box and discuss in the Narrative Section.
 3. None: The project is intended to contribute to this objective, but has not yet made an appreciable contribution to it.
 4. Modest: If the project in fact had some positive effect but of fairly low yield, check this box.
 5. Good: If the project made a contribution during the reporting period at least as well as was intended, check this box. If the contribution was of a different character than planned, this difference should be specified in the Narrative Section.
 6. Outstanding: If the contribution of the project to this objective is worthy of special attention in the Congressional presentation or before other audiences in the U.S., and/or of evaluation for transferability of approach to and emulation in other situations. Any contributions noted as outstanding should be further specified in the Narrative Section.
10. Achievement of Activity Targets: This item is to be completed by the appropriate project coordinator (or chairman of equivalent committee). Rate the project without reference to other projects.

- a. Evaluate how well progress to date and especially in the last six months has resulted in achievement of the stated targets of the project to the extent that was expected by this time. Quality, not timeliness, is the significant variable in this item.
 - b. Evaluate actual progress against the latest project work schedule. Timeliness, not quality, is the significant variable in this item.
11. Mission Director Recommendation: This item is designed to provide, every six months, the Mission Director's recommendation concerning the discontinuance, need for reevaluation, or continuance of the project as planned. If in his judgment a substantial change in the project plan is needed, either to improve disappointing results or to expand it in exploiting a significant breakthrough, check 11.b. This evaluation is essential because of the continually changing nature of program emphasis and trends, cooperating country conditions, and project developments. This recommendation may make possible a major simplification of the annual project budgeting cycle.
 12. Project Coordinator: Enter the name, title, and grade of the project coordinator. The final version submitted to AID/W is to be signed and dated by him. The TAPER is designed to be filled in by the Project Coordinator (or the Project Coordinating Committee Chairman) with appropriate assistance from other offices.
 13. Approved by Mission Director: The TAPER is to be approved by the Mission Director and reflect his official position on the project after considering any conflicting opinions in the Mission. Any major substantive minority view may be briefly summarized in the Narrative Section and related to the specific TAPER item for which the reservation is expressed. The Mission Director or Acting Mission Director must perform final review and approval function. Items 8, 10 and 11, however, should be personally completed by the Mission Director. The final version submitted to AID/W is to be signed and dated by him. The TAPER will be interpreted as reflecting the Mission Director's position on the project.

SECTION I. ACCOMPLISHMENTS

This Section must be completed in the space allotted using meaningful, succinct statements.

- A. List all significant accomplishments attributable to the project during the six months covered by the TAPER.
 1. Use precise and specific statements such as:
 - a. Fifty elementary school teachers were given a third six months of training as planned.
 - b. Five new rural health centers were officially opened for services in Province X; less than the nine as planned.
 - c. Two varieties of hybrid corn seeds were placed in production on 32 farms in three provinces; more than the 20 farms planned.
 - d. Agreements were signed with the Ministry of Agriculture to expand the implementation of the proposed rural credit system from four to eight provinces; not originally planned.
 2. Do not use imprecise or general statements such as:
 - a. Helped improve country's educational situation, as planned.
 - b. Trained more nurses for work in health program than planned.
 - c. Studied corn seed improvements and got fewer farmers to plant them than planned.
 - d. Signed an agreement with the Ministry which meets U.S. project requirements.
 - e. Worked on feasibility studies not originally planned.
 - f. Achieved planned objectives of the project.
- B. List in comparable realistic terms expected accomplishments during the next six months.

SECTION II. TECHNICIANS - U.S. AND THIRD COUNTRY

- A. On Board and Rating of Performance: If no U.S. or Third Country Technicians were planned for or assigned at any time during the six-month period, check None. If this box is checked, the rest of Section II is inapplicable and the next section to be completed is Section III - Participants.
1. Type of Technician: U.S. or Third Country Technicians may be of more than one type. Sections are included for each type of technician. A fifth type, Counterpart Technicians, is not covered in this section but in Section V - Cooperating Country, below. If there is more than one contract or more than one PASA, consolidate the information for each type of technician.
- a. U.S. Contract Technicians are defined as U.S. citizens specifically identified by position in an AID or borrower/grantee contract to provide advice, training or other personal services to the country or AID. Do not include contract personnel performing commodity related services as defined in Regulation 1, personnel incidental to the construction or production of a tangible end product, or positions not identified in the contract.
- b. U.S. PASA Technicians refers to U.S. citizens, if any, specifically covered under a Participating Agency Service Agreement (PASA) between AID and a U.S. Government agency, or who are detailed to AID from another U.S. Government agency. Include any personnel of a contractor engaged by the participating agency which would have been covered under contract if the contract had been let directly by AID.
- c. U.S. Direct Hire Technicians refers to U.S. citizens on AID's payroll. Direct hire personnel includes all U.S. citizen employees hired under AID personnel appointment authority, e.g., permanent, temporary, full-time, part-time, foreign service reserve, experts and consultants.
- d. Third Country Technicians are defined as nationals of a country other than the U.S. or the cooperating country and are totaled here irrespective of the method by which their services were procured.
2. Total On Board: Show the numbers of technicians scheduled to be on board and the numbers actually on board during the reporting period.

On Board refers to the numbers of persons on the payroll of the administering agency (a contractor, a participating U.S. agency or the Mission), who are officially assigned, or detailed, to duty on the project at any time during the reporting period. Exclude general support personnel in the home office.

3. Rating of Performance: Rate the technical and personal performance of the technicians of each type actually On Board, showing the numbers of technicians in each rating category defined as:
 - a. Unsatisfactory: fails to meet requirements in many important respects.
 - b. Marginal: meets most requirements, but not quite adequate in some important respects.
 - c. Adequate: clearly meets all basic requirements.
 - d. Good: clearly exceeds basic requirements, superior.
 - e. Outstanding: far exceeds basic requirements, has no significant weaknesses.
 - f. Not Rated: on board but not arrived at post or too early to rate.

The numbers in Blocks 3.a through 3.f must total the number in Block 2.b of that line. Explain briefly in the Narrative Section all entries in the Unsatisfactory or Outstanding categories identifying any contractors or participating agencies involved.

- B. Contractors: For each active contract, provide the following information:
 1. Contract Number: Enter each contract number.
 2. Name of Contractor: Enter the name of each firm, organization, or individual with whom each contract is concluded.
 3. Type of Contractor: Indicate the type of contractor using one of the following categories: university, not for profit organization, architect/engineer, construction, other commercial, or individual.

- C. Participating Agencies: For each participating agency service agreement, provide the following information:
1. PASA Number: Enter each PASA number.
 2. Name of Participating Agency: e.g. USDA, Interior, or HEW.
 3. Organizational Entity: e.g. Rural Electrification Administration, Bureau of Mines, or Office of Education.
- D. For each relevant category enter only the number of technicians of each type to which the statement or statements apply. The same technician may fall in more than one category. Briefly describe any problem situations in the Narrative Section and state what is being done, or should be done, to correct each such situation.

SECTION III. PARTICIPANTS

If there are no Participants on this project, check None. If this box is checked, the rest of Section III is inapplicable and the next Section to be completed is Section IV - AID Dollar-Financed Commodities.

- A. Show the number of participants in each of the six categories breaking them out by training location, i.e., U.S. or Third Country.

Item 2.a is the total from the start of the project to the beginning of the six-month reporting period.

Item 2.b is the total from the beginning to the end of the six-month reporting period.

Item 2.c, 2.d, and 2.e give the status as of the end of the reporting period.

Item 2.f is a total of numbers in Items 2.a through 2.e.

- B. Considering all stages of the participant training process--selection, processing, training, and return to country--and the project plan as shown in the current E-1c table, is this component seriously behind, slightly behind, on time, or ahead of schedule? Check the appropriate box. If Seriously behind, describe action taken or planned in Narrative Section.

- C. Rate the technical and personal performance of all returned participants in accordance with the general rating guidelines given in Section II.A.3 above.
- D. For each relevant category, enter only the number of returned participants to which the statement, or statements, applies. The same participant may fall in more than one category.

SECTION IV. AID DOLLAR-FINANCED COMMODITIES

If there are no AID dollar-financed commodities in this project, check None. If this box is checked, the rest of Section IV is inapplicable and the next Section to be completed is Section V - Cooperating Country.

- A. Quality: Rate the quality of the commodities delivered for use in this project. See Section II.A.3 for general guidelines on the rating categories.
- B. Use: Rate the use being made of the commodities delivered for this project. See Section II.A.3 for general guidelines on the rating categories.
- C. U.S. Government Excess Property
 - 1. Indicate whether or not any U.S. Government excess property has been delivered for use on this project from its beginning through the end of the reporting period.
 - 2. Enter the original acquisition cost of all such excess property.
 - 3. If the quality of any of the excess property was sub-standard, spare parts were not available, or for any other reason it caused serious project problems which probably would not have occurred if new equipment had been used, check No and describe the problems in the Narrative Section.
- D. Check each relevant problem item. Briefly describe the problem in the Narrative Section and state what is being done or is planned by the Mission to correct it. Where appropriate, indicate what AID/W action is recommended or required to resolve the problem.

E. Overdue Commodity Deliveries

If commodity deliveries for the project are more than 120 days overdue in relation to the last date of the planned delivery period (Block 13 of the PIO/C face sheet), check the authorized procurement agency or agents responsible and give details in the Narrative Section including the PIO/C number and the action being taken. Indicate also whether and what action AID/W should take.

F. Status of PIO/Cs

This section provides a status report on commodity procurement by PIO/C. Dollar values are expressed in amounts authorized (i.e., the value shown in Block 16.D of the PIO/C face sheet), the amount ordered (i.e., a firm order for the commodities has been placed with a supplier), and the value of the commodities delivered as of the end of reporting period.

- a. On line 1.a, under PIO/C number, enter the total number of PIO/Cs for which deliveries have been completed as of the end of the reporting period. Under F.3, 4 and 5, respectively, show the total dollar values Authorized, Ordered and Delivered for such PIO/Cs.
- b. On lines 1.b through j show separately each PIO/C issued for which deliveries have not been completed. For each such PIO/C enter in column 1, the number of the PIO/C (Block 2 on PIO/C face sheet); column 2, enter a check mark if deliveries, any deliveries, are 120 days or more overdue; column 3, the dollar value authorized; column 4, the dollar value ordered; and column 5, the dollar value delivered. All values should be expressed in thousands of dollars.

If there are more than nine issued but incomplete PIO/Cs, continue the listing in the Narrative Section using the same format. Use line j to indicate that the listing is continued in the Narrative Section.

SECTION V. COOPERATING COUNTRY

- A. Rate the actual participation of the Government of the cooperating country in planning and in executing the project. The significant variable is effectiveness, not attitude. See Section II.A.3 for general guidelines on rating categories.

- B. Check each relevant item. Briefly describe the problem in the Narrative Section and the prospects for improvement.
- C. Attitude: The response to this question should reflect the Mission's best estimate of the most prevalent attitude toward the project, of the government and of the citizens being reached.

Where the attitudes of government entities (e.g., Central Planning, Finance Ministry, substantive Ministry or implementing agency) or Citizen groups (e.g. political party, labor, or religious group) differ significantly, check Mixed. When Mixed is checked, the government entities or citizen groups holding the different attitudes should be specifically identified and the significant differences in their attitudes summarized in the Narrative Section.

D. Take-Over and Continuation Plans of the Cooperating Country

1. Check the appropriate box.
2. What is your best estimate of the cooperating country's real intentions with regard to assuming full responsibility (including financing), and continuing this activity where this is required, when U.S. participation is phased-out in accordance with project plans? Check the appropriate box.
3. Check the appropriate box.

E. Counterpart Technicians

1. Include as On Board all professional, technical, and managerial personnel who are citizens of the cooperating country and who were specifically assigned to the project at any time during the reporting period regardless of the employer, type of appointment, or kind and source of funds. Include only those technicians who are working directly within the scope of the objectives for the project (i.e., do not include technicians working for the government or implementing agent in the same general field but not directly on the project). Exclude clerical and service personnel.

Of the On Board Counterpart Technicians, indicate the number in each rating category. See Section II.A.3 for general guidelines on rating categories. The sum of E.1.b through E.1.g must equal E.1.a.

2. Of the On Board Counterpart Technicians, indicate the number in each category. The same technician may appear in more than one category.

F. Total Cooperating Country Financing Contribution Directly to Project

In this section report only those Cash and In Kind contributions made directly to the project by the cooperating country government or implementing agency. Do not give general or budget figures for a ministry (e.g. Agriculture) or for the relevant activity field (e.g., rural health).

1. Type of Contribution: Express all contributions in U.S. dollar equivalents rounded to the nearest thousand dollars. Show the contribution for each of the following categories:
 - a. Cash: Include all financial contributions including counterpart and trust funds; exclude U.S.-owned local currency.
 - b. In Kind: These are to be realistic "best estimate" figures. Do not institute elaborate pricing procedures to obtain these figures.
 - c. Total: Enter the totals for Cash and In Kind.
2. Total Planned for Life of Project: Enter the amounts for the period covered by the project. Do not include amounts to be spent by the cooperating country to continue the activity after the project has been completed.
3. Committed To Date: Enter the amounts committed from the beginning of the project to the end of the reporting period. Show total unduplicated commitments by the cooperating country in ProAgs, PIOs and equivalent documents.
4. Disbursements To Date: Enter the cumulative amounts disbursed or provided In Kind through the end of reporting period. Use actual figures when available, otherwise use best estimates.

- G. Check the appropriate box.

SECTION VI. PROJECT SUPPORT

- A. Rate the project support and backstopping given to the project by AID/W and, where appropriate, any participating agency or contractor home office involved.

Rate timeliness and quality separately using the general guidelines for rating categories in Section II.A.3.

- B. Check any backstopping deficiencies of AID/W, PASA, or contractor. For each item checked, briefly describe the problem in the Narrative Section and state what is being done or planned to correct it. Where appropriate, indicate what AID/W action is recommended or required to resolve the problem.

SECTION VII. GENERAL

Check either Yes or No for each question. If the answer is "Yes" to any of the questions in this Section, explain the situation in the Narrative Section.

- A. This question relates to any problem not already covered in this report. Such problems might include natural disasters, labor strikes, war, revolution, banditry, weather, or political conditions.
- B. This question relates to technical aids required or desired by a technician to facilitate his work and effectiveness.
- C. In view of the AID/W research and analysis program which includes all aspects of foreign assistance, has this project highlighted any problem areas where basic or applied research would be desirable?
- D. 1. Are there any countries or organizations other than AID and the cooperating country participating in this project? Examples could be Peace Corps, voluntary agencies, private foundations, other donor countries, and multi-lateral agencies. If the answer to D.1 is Yes, cite in the Narrative Section the name of the country(ies), organization(s), or agency(ies), and give the number of personnel involved during the period and whether this was more, less, or about the same as that contemplated in the project plan.
2. If Yes is checked, describe the problem(s) in the Narrative Section.

- E. Particular attention should be given to innovations, adaptations of American methodology, locally developed tools or devices, institutional inventions, approaches which succeed in crossing cultural barriers to acceptance of new technology, etc., which have resulted in breakthroughs and may be useful in approaching development problems in other countries. If the answer is Yes, describe briefly in the Narrative Section.
- F. If the answer to this question is Yes, identify the subject matter in the Narrative Section.
- G. A visit is here defined as a field inspection or review of the project including discussions with project personnel and examination of facilities and activities. Driving by a project or a casual visit is not a "visit" for this purpose.

SECTION VIII. NARRATIVE

The Narrative Section is not a conventional, descriptive, elaborate report of what went on during the period covered. It is a brief clarification of significant problems and notable successes. Responses should be meaningful and as succinct as possible.

Organize the Narrative Section to correspond with the structured sequence of sections and items in the TAPER. Identify each narrative statement by the appropriate section and item identifier, e.g.:

II.A.1.a/II.A.3.a: 4 U.S. contract technicians were rated unsatisfactory because ...

II.B.1.f: Contract No. -- AID-1234

II.B.2.f: Contractor Name -- XYZ Assoc.

II.B.3.f: Type of Contractor -- Other Commercial

Use as few continuation sheets as possible.

A/MP-Pilot Test
March 25, 1966

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