

Teamwork 101: *A guide for USAID team members*



The Team Resources Team

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INTRODUCTION

The Agency is continuing to foster improvements in management, organization, and personnel issues related to operating unit reengineering efforts. This is being accomplished under the REFORM Initiative announced by the Administrator in early December, 1996. Employees involved in REFORM have developed products that address problems and impediments that missions experience as they reengineer their operations.

The *Team Resources Tool Kit* presented here strives to gather in one place concise, comprehensive guidance on the formation and operation of teams. It includes such subjects as: the definition of a team; selection of team members; roles, responsibilities and relationships of team members; basic team skills; strategies and techniques of successful coaching. The Tool Kit illustrates how operating needs may be met using a team approach. It identifies structural and operating methodologies that have been successfully employed by USAID Missions throughout the world.

Additional team-related guidance is being developed. As may be expected of an evolving product, missions may find portions of this Tool Kit incongruent with some of the guidance currently in use within USAID. Inconsistencies between the products issued as a result of REFORM will be resolved as we continue to learn which techniques work. The users of this tool kit can help keep it up to date by sending into M/MPI techniques and practices they have implemented successfully. The Automated Directives System and other operating guidelines will be updated as necessary to resolve inconsistencies.

The Tool Kit will continue to be a work-in-progress, reviewed and revised regularly as the Agency continues to reengineer its operations and continues to learn what an organization that values teamwork can accomplish.

DEFINITIONS

1. **A TEAM** is defined as a group of people with complementary skills who are empowered by USAID and its partners to achieve team results for agreed upon purposes for which they hold themselves accountable and are held accountable.
2. **CORE TEAMS** include USAID staff who are authorized to carry out inherently U.S. governmental functions for implementing a Strategic Objective (SO). The **expanded team** is drawn from other U.S. government employees, counterpart host-country government agencies, the private sector, PVOs/NGOs, customer representatives, and/or other donors. Teams can also have virtual members. Virtual team members are members who are not physically present but participate via electronic technology with team members who are in one location.
3. **FUNCTIONAL TEAMS** exist to effectively carry out "like work", e.g., controller, procurement, and program activities.
4. **STRATEGIC OBJECTIVE TEAMS** exist to achieve a set of results or strategic objectives, e.g., to reduce infant mortality rate from 10 to 5 percent within an eight-year time frame.
5. **BLITZ TEAMS** accelerate the identification of root causes of problems in work processes and provide quick results. "Quick results" is taken to mean "under eight (8) weeks," e.g. the Intensive Reengineering Team.
6. **MANAGEMENT TEAMS** solve internal management problems, e.g., distribution of work, interpersonal conflicts, performance issues. They also improve work processes and the successful delivery of products that meet customer needs.
7. **TEAM LEADERS** are "player coaches" who work with a group of team members to achieve specific tasks, produce analytical work products and services, meet LONG/SHORT-TERM program goals, and are also responsible for individual team tasks.
8. **A COACH** is an individual who mentors, motivates, facilitates, negotiates, and helps teams to achieve intended results.
9. **A SUPERVISOR** is an employee who accomplishes work through the direction of other people. Supervision must occupy at least 25% of his/her time. Under reengineering, supervisors are expected to adopt a player-coach type of role. In addition the supervisor has the responsibility and authority for evaluating the work performance of subordinates; interviewing; recommending appointments,

promotions, or reassignments; imposing disciplinary measures; identifying, providing or arranging developmental and training needs; developing performance standards; and hearing and resolving employees' complaints.

CHARACTERISTICS OF TEAMS

1. **Teams are parallel** when they exist concurrently with the existing organization structure and may be permanent or temporary, e.g., a hierarchical structure co-existing with a temporary Strategic Planning Team. **Teams are informal** when they are not officially established within the organization.
2. **Teams are temporary** when they exist to accomplish a specific task for a specified time period, e.g., Strategic Planning Team, Results Framework Team.
3. **Teams are cross-functional** when they provide multi-disciplinary approaches, e.g., a financial management team may provide administrative support, activity accounting tasks and financial analysis tasks performed by different team members.
4. **Teams measuring performance** assess whether objectives/results have been achieved and identify probable reasons for achievement or non-achievement.
5. **Teams are empowered** when they are given authority, responsibility and resources necessary to achieve objectives and make effective decisions. Participation and leadership are distributed among team members and authority is equalized and shared.

TEAM BASICS ¹

1. Small Number
2. Complementary Skills
3. Committable common purpose and performance goals
4. Committable common approach
5. Mutual Accountability

1. **Small Number.** Experts and experience have shown that small teams are more efficient and effective. Large groups--by virtue of their size--have trouble interacting constructively as a group. However, if a team is too small, (under five people), there may not be enough diversity or range of perspectives to generate creative solutions. Teams ranging from five to eight people have proven to be more manageable and successful.

2. **Complementary Skills.** Teams must develop the right mix of skills, that is, each of the complementary skills necessary to do the team's job. These team skill requirements fall into three categories:

¹ See The Wisdom of Teams by Jon R. Katzenbach and Douglas K. Smith.

a. **Technical or functional expertise.** Teams must identify the range and variety of expertise needed to achieve the agreed-upon objective and recruit people with that expertise as full, part-time, virtual, or extended team members.

b. **Problem-solving and decision-making skills.** Teams must be able to identify the problems and opportunities they face, evaluate the options available, and make trade-offs and decisions about how to proceed. Most teams should include members with these skills from the beginning; others will develop them on the job.

c. **Interpersonal skills.** Common understanding and purpose require effective communication, which at times may mean differences of opinions and even heated debates. Good interpersonal skills are vital in these circumstances. Discussions leading to consensus require risk-taking, helpful criticism, objectivity, active listening, giving the benefit of the doubt, providing support, and recognizing the interests and achievements of others.

3. **Common Purpose.** A team's purpose and performance goals go together. The team's near-term performance goals must always relate directly to its overall purpose; otherwise, team members become confused, pull apart, and lose sight of their objective.

4. **Common Approach.** Teams also need to establish how they will work together to accomplish their purpose. They may need to invest as much time and effort crafting their working approach as shaping their purpose. Team members must agree on who will do particular jobs, how schedules will be set and adhered to, what skills need to be developed, how membership will be earned and retained, and how the group will make and modify decisions, including when and how to modify its approach to getting the job done. Agreeing on the specifics of work and how individual skills will be integrated to advance team performance is central to shaping a common approach. A working approach that delegates all the work to a few members and relies on discussion meetings as the only opportunity for genuine "team-work" cannot sustain a real team.

5. **Mutual Accountability.** No group ever becomes a team until it holds itself accountable as a team. This is a stiff test. Team accountability is rooted in the promises we make to ourselves and others, promises that underpin two critical aspects of teams: commitment and trust. By promising to hold ourselves accountable to the team's goals and for performance and results, we each earn the right to express our own views about all aspects of the team's effort and to have our views receive a fair hearing. By following through on such a promise, we preserve and extend the trust upon which any team must be built.

THE STRATEGIC OBJECTIVE TEAM

ADS 202.5.2 states "The operating unit shall establish a strategic objective team for each strategic objective, strategic support objective, and special objective defined in the approved strategic plan." The strategic objective team is the only team required under the Agency's directives. Other teams may be formed by operating units as needed, but are not required. These other teams may include results package or intermediate results teams established within the strategic objective team.

The "core team" of the strategic objective team is defined in the Agency Directives as "US Government employees and others who may be authorized to carry out inherently US governmental functions such as procurement actions or obligations. For example, only members of the core team would manage procurement sensitive materials or negotiate formal agreements." This was not intended to exclude FSNs or USPSCs from participation on the core team. They can serve on the core team within the parameters established in Agency guidelines and policies (e.g., FSNs/PSCs cannot supervise USDH employees and are not permitted to obligate funds).

The importance of the strategic objective team relates to its multifunctionality and its close organizational proximity to both the Agency's program delivery and to the Agency's customers. The key to its success lies in its participatory approach and its potential for increased customer responsiveness and greater program impact.

When forming strategic objective teams, the operating unit should consider several factors:

1. Core Team Size. The ideal team size is five to eight people. If the strategic objective team is smaller than five, the operating unit may have difficulty staffing the team with the appropriate mix of skills to implement the strategic objective. A larger team may be less manageable and may lack the agility, responsiveness, and dynamics of a small team.

- ! In cases where a very small strategic objective team must be formed (e.g. in a small/limited mission), consideration should be given to staffing the disciplines and perspectives needed to carry out the strategic objective via part-time membership from within the operating unit, virtual team membership from elsewhere in the Agency, and expanded team membership (such as other USDHs from the country team).
- ! In cases where the strategic objective team is formed with a large number of people, consideration should be given to the creation of sub-teams (such as

results package, intermediate result, or activity implementation teams). Sub-teams should be of relatively small size (5-8), be multidisciplinary, and make full use of expanded team membership. Under this scenario, the strategic objective team might function less as a true operational team and more as a policy-making and oversight body.

2. Purpose. Teams must have a clear purpose and approach in order to operate effectively and to focus their work. Operating units should be conscious of this fact when designing strategic objectives. A strategic objective that is too-broadly focused, multi-dimensional, or ill-defined will be difficult for any strategic objective team to achieve.

3. Multifunctional/Multidisciplinary Approach. Team members should be drawn from across functions (and, therefore, across office lines) rather than from a single function (such as a technical expert from a technical office). The strategic objective team should include the knowledge, expertise, and authorities necessary to be able to respond as a self-contained entity to customer needs and to achieve results.

4. Delegations of Authority and Team Contracts. Strategic objective teams should be delegated full authorities by the mission director in accordance with ADS 202.5.2 and the operating unit's needs. This delegation should ensure that the team is fully empowered to carry out its responsibilities for managing to achieve the strategic objective. In addition, a team contract and/or team charter can be used to lay out these responsibilities as well as the roles and responsibilities of team members, team values, expected performance, the team decision-making process, and other areas of team operations (see Appendices II and III).

5. Criteria for Strategic Objective Team Members. When staffing strategic objective teams, the operating unit should carefully consider the personnel who will serve on the team.

- ! Technical staff - Since Agency technical staff have historically been at the center of the Agency's program implementation, technical staff will be the heart of strategic objective teams. Technical staff must take a participatory and collaborative approach, embracing core team members from non-technical areas of the operating unit, as well as expanded and virtual team members.
- ! Support Office staff - Strategic objective teams can be staffed with members drawn from the various support functions of the Agency/operating unit, including Program/Project Development, Financial Management, Procurement, Legal Advisors, Information Resources, etc. Strategic objective team members drawn from these disciplines should, as a general rule, have:

- ! Strong "technical" expertise in the relevant support field and the ability to work independently from the support office/function (especially when co-located with the team). Strategic objective team positions should not be trainee positions unless strong support and supervision is provided by expert in that particular support field.
- ! A strong link back to the support office/function, such as having at least one work objective in the employee's annual evaluation rated by the support office/function supervisor, and commitment to the team, including at least one work objective rated by the team or team leader.
- ! Well defined responsibilities and roles between the support office and the strategic objective team as well as within the team.
- ! General Skills for Team Members - In addition to substantive expertise, team members need interpersonal and team skills as well as analytical and problem-solving skills.

6. Workload Efficiency Issues. When staffing strategic objective teams, a workload analysis should be performed for each function to determine either the necessity for a full-time position(s) or the percent of time needed for part-time work effort.

ROLE OF THE TEAM LEADER

The team leader first needs a clear understanding from senior officials as to the purpose of the team; how the team and its work fit into the agency's goals and objectives; the performance expectations for the team; and the authorities and resources being made available.

The team leader's other primary functions include:

1. Explaining the purpose and intended results of the team effort;
2. Leading team meetings and working with a facilitator to plan meetings/agendas and manage/monitor/strengthen team processes.
3. Closely watching the status and progress of agreed upon tasks;
4. Ensuring the team has everything what it needs to make decisions, including the "right skills at the right time";
5. Providing intellectual leadership and forging consensus within the team;
6. Representing and communicating the team consensus products to the Agency;
7. Assisting in writing the work objective against which the members will be evaluated.
8. Evaluating the performance of team members as part of their annual evaluation.

SELECTION OF TEAM LEADER

A team leader may be chosen by top management or selected by other team members. What is the most important attribute of team leaders? Most experts say the answer to this key question is "**ATTITUDE**". A team leader must have strong beliefs in and commitment to the team's purpose, the value of each person's contribution, the belief in a collaborative effort, the ability to strike a balance between action and patience, and a willingness to do real work along with everyone else. Interpersonal skills and managerial skills are a factor, but are not as important as "ATTITUDE".

SELECTION OF TEAM MEMBERS

The USAID mission is a global responsibility in which diversity and equal employment opportunity must play an integral part. Depending upon the work circumstances, team members may be chosen by management, selected by the team leader, or other team members, may volunteer, or may be recruited through advertising. Core teams of USAID personnel, consisting of U.S. Direct Hires, USPSC's and Foreign Service Nationals, and extended teams of USAID staff, external partners and stakeholders, usually represent a mosaic of individuals who must agree on a common work goal to achieve a result. It is a business imperative that we create a workplace environment unencumbered by traditional barriers. Team members must have a common understanding of diversity. They need to be able to accept human differences and work in problem solving teams to serve our customers.

There are many variations possible in team composition. There may be a strategic objectives team or a functional team with several task teams. The team composition should be carefully determined based on the scope of the effort, the available resources, and the overall objective.

- ! Team size is dependent on the scope of the task (five to eight team members usually constitute a good working group).
- ! A team should be cross functional, representing all functions involved in the process.
- ! A team member should have some of the following attributes:
 - ! Objectivity
 - ! Analytical skills
 - ! Flexibility
 - ! Willingness to take prudent risks
 - ! Optimism
 - ! Dependability
 - ! Communication skills
 - ! Supportive

! Listening skills

ROLE OF TEAM MEMBERS

Team members should:

- ! abide by the agreed contract or code of conduct
- ! fully participate in meetings
- ! share information and administrative responsibilities
- ! promote consensus and support it once it is achieved
- ! use positive group processes
- ! have fun

See Appendix IV "Defining Team Roles" as developed by USAID/Bangladesh

VIRTUAL TEAM ROLE

Teams are "people who need one another to act" to accomplish tasks. In USAID, the concept of team-based operations to achieve results is still emerging as a management tool. Virtual members can play key roles and provide essential expert input toward task management, but because they are not physically present, their participation must be orchestrated from the beginning by the team members who are local. What does this entail?

The basic techniques of team management have to be used in special ways. The team **charter** must specify not only what the team will accomplish but the contributions expected of its members. These contributions should also be included as work objectives in the Annual Evaluations of all team members.

Most work in USAID, especially during our transition to new modes of operation, is based on pre-existing objectives, relationships, and mechanisms. Offices have been relabeled; teams have been created around project management responsibilities; and contracts, cooperative agreements, and grants that were in place now form the basis of "results packages" and "strategic objectives." This means that the first task in using virtual team members, or recruiting them, is an examination of:

- ! The work processes and results sought by the local team
- ! Current operating restraints and bottlenecks
- ! Ways to eliminate bottlenecks, reduce cycle time, and improve results
- ! Functional expertise that is *not represented locally* but might improve team performance

The operations team must decide whether current virtual members, (if any,) are playing the roles required. The team also must decide which skills additional virtual members should possess.

This self-diagnosis by the team lays a foundation for action. Virtual members are clearly more limited in their ability to further the team's purpose, and their participation incurs greater transaction costs to local team members and to themselves. Virtual team members can help local members achieve better results (higher quality, faster cycle time, greater customer satisfaction, etc.), only if several factors are addressed:

- ! The team must be satisfied with the virtual member's expertise and his/her ability to build trust and confidence internally and with external

stakeholders. This requires at least some face-to-face contact. AID/W units engaged in field support must program operating expenses as well as program funds so their staff can maintain working relationships with any teams on which they serve as virtual members. Virtual team members also must have the resources to keep current about changing field situations. Experience indicates that telecommunications can maintain working communications, but are insufficient to establish trust or to maintain effective work relationships.

- ! The **team** must include in its charter and ground rules specific team communications "etiquette", applicable to its virtual members. These might include establishing block listings for task-related E-mails; frequently updated addresses, phone, FAX, and E-mail numbers; agreements on acceptable activity lead times and lag times, "turnaround time" for communications between members, and alternative procedures such as "no objections" if responses are not received by set dates; recognition of time differences between the operations site and the locations of virtual members; and failsafe mechanisms to ensure that critical information or other inputs to team operations will be provided. Members must use multiple communications channels to ensure reliability and timeliness in their work with each other.

- ! **Virtual members** must incorporate their responsibilities to distant teams in their regular time schedules and work planning, and assume that their performance will be assessed and rewarded in the same way as their localized work responsibilities. They must take the initiative to avoid being spread too thin. They should expect to produce identifiable, measurable work products which they have negotiated with the rest of the team.

Millions of employees of private firms and government agencies now telecommute contributing significant work to their firms. By developing flexible work programs (in time and in space) they have become measurably more productive -- and often more happy! Virtual team membership relies upon adequate technical support. To the extent that USAID's investment in electronic communications technology grows in effectiveness and reliability we will be increasingly able to incorporate virtual members into foreign assistance teams. In this transition phase, we will all have to work together to adjust our expectations, as well as our schedules, and fit our work into the limitations of our existing communications capacity.

TRAITS AND CHARACTERISTICS OF AN EFFECTIVE COACH

Coaching is a process that enhances the performance of the team; it does not control the team. As USAID increasingly employs teams as a primary mode for conducting business and achieving results, the more directive style of management associated with a hierarchical structure is diminishing and the facilitating, motivational style of a coach is taking on a level of importance that did not exist widely in USAID before reengineering.

Coaching is essentially action-oriented, enabling, and growth-inducing. No one can be coached in the absence of a demand for it. This demand shows up naturally in an environment of committed, partnership-oriented management. This coaching role can be carried out by a team leader, by core managers, or by supervisors. Traits and characteristics that help define a "coach" are provided below.

A successful coach makes a commitment of time.

- ! Be dependable
- ! Interact daily with the team
- ! Interact with customers, partners, and stakeholders in support of the team's efforts

A coach must be a good communicator and a good listener.

- ! Be intellectually active
- ! Articulate vision, broad policy and strategy clearly and help translate into an action plan
- ! Listen actively and objectively and consider other ideas and viewpoints
- ! Avoid directive style
- ! Commit to producing a result and enacting a vision

A coach should be a negotiator.

- ! Understand and effectively use collaboration, compromise, consensus, and competition as a situation warrants

A coach should be a facilitator.

- ! Listen
- ! Be neutral, non-threatening, non-judgmental
- ! Stimulate a structured discussion and interaction
- ! Draw out participants

A coach should be visible.

- ! Lead by example
- ! Demonstrate what is important by how time is spent, priorities are set, questions are asked, and by the people seen, places visited, and behaviors and results recognized and rewarded
- ! Enhance accessibility and promote "walking the talk"-- literally
- ! Exhibit behavior consistent with the team's values

A coach should motivate.

- ! Know and respect the uniqueness of your team members
- ! Participate and provide guidance
- ! Show enthusiastic support
- ! Recognize and reward
- ! Create an enabling environment and sense of team ownership
- ! Pursue resources actively
- ! Meet the needs of individual team members
- ! Give constructive feedback
- ! Be sensitive to the team as well as to individuals

A coach is a mentor.

- ! Be the active link between the team and the organization
- ! Provide guidance consistent with the goals of the parent organization
- ! Enhance the Agency's strategic goals
- ! Provide opportunities for personal growth and learning in the team setting

COACHING STRATEGIES AND TECHNIQUES

*I believe some of us must assume leadership. I believe people
thirst to be led to better the situation...Leaders inspire us!
Leaders show us the way!
From A former Football Coach, University of Notre Dame*

Coaching

Management Coaches provide coaching for teams and employees by creating a shared vision and positive environment that is team-based and by providing the direction and leadership for reaching objectives and results. A coach can be a senior manager, supervisor, team leader, facilitator, e.g. Mission Director, Deputy Assistant Administrator, Office Head, Division Chief, Strategic Objective Team Leader, or other line supervisor.

Team Leaders coach teams by working with team members to achieve results. They can be supervisors or any non-supervisory individual such as Foreign Service Nationals, U.S. Direct Hires or Personal Services Contractors (PSCs) who have been assigned specific duties to achieve a particular set of results.

What are the desired results of successful coaching?

- ! Positive changes in performance and behavior.
- ! A renewed commitment to the purpose of the organization and development of its teams.
- ! Achievement and maintenance of a positive work environment where the teams work together and value each others' contributions.
- ! Mutual accountability, communication, openness to change, and focus on viewing problems as opportunities.
- ! A coach who concentrates less on controlling and more on developing a satisfying process for achieving results. A successful coach uses communication skills to develop a sequence or flow of steps that produces results and elicits a consensus among all who are involved. The coach communicates by monitoring, reviewing, revising and assessing performance to improve the process. The coach creates an atmosphere where team members feel comfortable to participate and are committed to the team's purpose.

All successful coaching is focused on the performance of the team and on getting results. It is based on the coaches commitment to successfully carry out the four functions of coaching:

- ! **Counsel.** Self sufficiency of the team and its members by discovering individual and team needs. The coach then matches information, resources, understanding, and authorities to meet those needs.
- ! **Mentor.** Provide direction that connects with the organizational goals, core values and the team's needs. Motivates, works with the team to set standards and recognizes the team for achieving results.
- ! **Tutor and train.** Provide continuous learning and training of team members. This may be in the form of sharing personal learning experiences or providing other formal or informal learning opportunities. The coach must be the example of the kind of actions and behavior expected from others.
- ! **Confront issues.** Confront issues that must be dealt with so that the team can move forward. Resolve conflict, elicit participation, decide on a plan, and leads its implementation.

What coaches do to maintain a foundation for teamwork.

All Management Coaches and Team Leaders:

- ! Invest time and energy in the team's process and encourage participation by all members.
- ! "Walk the Talk", demonstrating the desired behavioral changes by modifying his/her own behavior.
- ! Mutually agree on the purpose for the team's existence and clarify specific goals, objectives, and expected results.
- ! Serve as a broker for the team by negotiating with partners, stakeholders, outside organizations, and individuals to support the team's requirements for success.
- ! Actively help the team to work effectively together to achieve its objectives and results.

Management Coaches do the following to maintain a foundation for teams:

! Take deliberate actions to create a team-based environment which allows teams to work at their best. The coach "lets go" to enhance each team's ability to make effective decisions. The Management Coach establishes policies and procedures that lead the organization towards high performance.

! Appropriately delegate authorities that empower the team leaders and members to carry out the team's purpose.

! Communicate his/her initial vision for results and clarify the team's purpose; take actions to elicit participation from team members, partners, stakeholders and customers; create and develop a shared vision and mission statement which commands broad support.

! Provide the team with the resources to do its work. The coach assures that team members are not selected solely on positions, but on the complementary skills the team needs to perform. The coach empowers the team with the authorities, capabilities, and budget necessary to achieve its objectives. The coach ensures that the team has members with the knowledge, skills, and abilities to perform their roles and assures each team member is willing to become accountable and is held accountable for the team's results.

! Provide continuous feedback to the teams within the context of the agency and the organizational unit's goals and objectives.

! Monitor the team's progress to assure that the team is operating, managing its internal conflicts, and taking steps to work as a high performing team.

! Establish principles for managing conflict. Respond to the team's particular needs, and possible adverse actions. Make decisions and take necessary steps that result in positive reinforcement and resolution. Keep in close contact with the team to assure the entire team moves forward with its purpose.

! Develop and implement an effective *Incentives Program* to recognize and reward the team for achieving results. This may include monetary and nonmonetary awards.

! Communicate a strategic vision and carefully consider the team's expected results in balance with the organization's overall strategic plan, customer focus, individual assignments outside the team, organizational structure,

management support of other managers, and the impact of cross-cutting work-flow processes.

! Work closely with the team to mutually agree upon performance goals and work plans that incorporate assignments, results, and expectations for teamwork. Clearly articulate what the team members are accountable for and encourage them to hold each other accountable for the team's results.

! . Work closely with team leaders and the team by explaining value-added benefits for structuring as a team-based operation, identifying areas where coaching intervention is needed, providing direction, specifying resource requirements, and developing mutually-agreed upon expectations and performance standards.

! Plan and implement a *Training and Learning Program* that provides the team with team-building skills and technical skills that will enhance the team's ability to achieve results.

Team Leaders play an active role by performing real work to achieve the team's results. They do the following to maintain a foundation for teams:

! Lead the team to consensus and guide the team to put *action plans* in place to achieve results. Help the team to define each member's role, targets for completing work, performance measures, and milestones for results.

! Help the team to design and complete its "*Team Contract*," the team's guidelines for its behavior, ways of working together, identification of roles and responsibilities, and specific activities for achieving results.

! Facilitate the development of *operating rules* (how the team will conduct its business) and *ground rules*, (how team members will interact with each other and behave). For example, the team may agree to operate by "being on time for each meeting" or that "the meeting will last for one hour" or that "decisions will be made by consensus". The team would set ground rules by agreeing that "the team will have open and honest communications" or that "each member will respect the views of others on the team" or the team will avoid the "yes, but we can't do that" syndrome. (Sample Team Contract models are attached at Appendix II a and b).

! Use "just in time" training and techniques when the team's effectiveness is hindered. He/She should use these skills to resolve conflict and guide the team through this process. The team leader coach recognizes when a Management

Coach's intervention is necessary and takes the appropriate action to set the standard for the team's interaction.

! . Provide feedback to the team on its progress and negotiate with Management Coaches when issues and concerns need attention.

All Coaches create and support a climate for learning and discovery. In doing so, they:

! Encourage the team to develop innovative approaches and benchmark best practices.

! Present a set of challenging opportunities to energize the team to explore other ways of doing business beyond the status quo. Encourage the team to ask: Why do we perform our work processes in this manner? Why do we operate this way? Is there a better more productive way to do business? Did we ask our customers about their needs? Have we involved our suppliers, other colleagues, and stakeholders in our process?

! Motivate team participants to be creative, to use their skills and abilities for high performance, and to be willing to share their knowledge with other team members.

! Remain accessible and open for discussions on issues and concerns, especially related to the team's performance and results. All coaches make decisions and communicate with the team, generate their involvement in the decision-making process, and work to gain buy-in.

All coaches help identify and build team skills that are necessary for success. Coaches --

! Use basic facilitation skills that embody team-based principles and problem-solving techniques and tools to increase the team's effectiveness. The coach intervenes to help the team improve the way it identifies and solves problems, seeks assistance, resolves conflict, and clarifies how it makes decisions.

! Mutually agree with the team to participate as a member of the team. Coaches should have the basic training and/or experience to facilitate effective teams and be able to perform the functions of a coach to counsel, mentor, tutor and, train.

! Provide instructions that guide the team through the process of customer planning, reviewing its work processes, and developing strategic objectives, immediate results, and results packages.

! Lead brainstorming sessions and hone problem-solving techniques. The team's process should not be controlled or dictated; rather, the team members should be encouraged to participate and suggest ideas. The team should be helped to systematically agree on the final outcome of their suggestions.

To resolve conflict, all coaches facilitate the team by:

- ! Defining the problem - What is going right? What can be changed?
- ! Establishing criteria for evaluating the solutions - What criteria will be used to decide what will work?
- ! Identifying the root causes - What is the actual source of the conflict?
- ! Generating alternative solutions - Brainstorm possible solutions?
- ! Discussing the alternative solutions - Prioritized the best possible solutions. What will work and why?
- ! Facilitating the team to select the best solution - What is the consensus of the team? What is the decision? Is it clear to everyone?
- ! Developing a team plan - What steps do we need to take? What results do we want to achieve? Who is responsible? Is there a deadline?
- ! Implementing the plan - What are the next steps?
- ! Helping the team to evaluate the results and the process - How effective was the process? What indicators track the results? How well did we do? What changes do we need to make?

SKILLS AND KNOWLEDGE NEEDED IN A REENGINEERED USAID

The Office of Human Resources, headed by Linda Lion, has formed a team comprising of representatives from various bureaus and field missions to develop a leadership and development Training Plan. This is an initial draft identifying the skills and knowledge each category of employee should have to function in a reengineered USAID.

Five Management IQC firms offer training in a majority of the identified skills. These five IQC Management Firms are: 1) MSI, 2) the Mitchell Group, 3) Team Technology, 4) Development Alternatives, and 5) AMEX.

SKILLS & KNOWLEDGE	CORE/ NEW	GEN'L/ Mid- Level	Senior Mgr.
ORGANIZATION AND OPERATIONS			
Basic Development Theory	X	X	X
USAID Structure	X	X	X
USAID Strategic Planning Process	X	X	X
USAID Core Values	X	X	X
Host Country Relationships	X	X	X
Cross Culture Skills	X	X	X
Interrelation of New Operating System and NMS	X	X	X

SKILLS & KNOWLEDGE	CORE/ NEW	GEN'L/ Mid- Level	Senior Mgr.
USAID Automated Directive System	X	X	X
Skills in Learning Organization	X	X	X
TEAM SKILLS MODULE			
Team Process	X	X	X
Team Roles	X	X	X
Diversity	X		
Communications and Feedback	X	X	X
Listening Skills	X		
Problem Solving Techniques	X		
Conflict Resolution	X	X	
Consensus Building	X		
Team Building	X	X	
Accountability	X		
Customer Participation	X		
Selecting, Assigning, and Sponsoring Teams		X	X
Coaching Teams	X	X	X
Team Support Technical Tools	X	X	
Interpersonal Skills	X		
MANAGING FOR RESULTS MODULE			
Strategic Planning	X	X	X

SKILLS & KNOWLEDGE	CORE/ NEW	GEN'L/ Mid- Level	Senior Mgr.
Preparing and Using R4's	X	X	X
Procurement Planning	X		X
Management Contract			X
Benchmarking	X	X	X
Procurement Request Preparation	X		
Manages Resources	X	X	X
Works In Ethical Manner	X		X
Supervision	X	X	X
Serves Customers	X	X	X
Surveys and Plans for Customers' Needs	X	X	X
Adapts to Change	X	X	X
Extracting Information from NMS	X	X	X
Procurement Proposal Evaluation	X		
Contract Administration	X		
Grants and Cooperative Agreement Management	X		
Program Evaluation	X	X	X
Technical/Sectoral/Functional Skills			
Work Process Analysis			
LEADERSHIP MODULE			
Mentoring			X
Leadership	X		
Creating Shared Vision and Values			X

SKILLS & KNOWLEDGE	CORE/ NEW	GEN'L/ Mid- Level	Senior Mgr.
Managing Culture Change			X
Empowerment Techniques			X
Motivational Skills (and Recognition)	X		X
Negotiation Skills	X		X
Conflict Management	X		X
Goal Setting	X		X
Public Speaking			X
Political Sensibilities			X
Presentation Skills			X
Work with Stakeholders	X		
Stakeholders Management			X
Cross Cutting Management			X
Resource Management Skill Set			X
Championing Change	X		X
Risk Taking	X		
Managing Diverse Workforce			X
Managing Risk			X
Senior Management Skills Assessment			
Systemic Assessment (Diagnostic of Organization)		X	X
Decision Making Tools			X
Using NMS as Management Tool			X

TEAM CHARTER

NAME OF TEAM: Democracy Team (aka "D" Team or Team "D")

1. Team Goals.
 - (a) Test and evaluate an experimental program design model developed by the Mission's "Exploration" Team.
 - (b) Develop a democracy "results" package using the experimental program design model.
 - (c) Achieve substantive goals as per the workplan presented in Section 10.
2. Team Values. Team members commit themselves to:
 - (a) following the core values of USAID which are
 - (1) customer focus;
 - (2) teamwork;
 - (3) empowerment and accountability; and
 - (4) managing for results.
 - (b) achieving the "D" Team Goals as defined above and to be responsible participation in the "D" Team.
 - (c) following reengineering and experimental laboratory guidance provided by USAID/Washington as currently set forth in State (94) 291181 and State (94) 323961.
 - (d) designing a democracy program that is consistent with the Agency's strategic statement on "Building Democracy" and related implementation guidelines.
3. Expected Results
 - (a) An evaluation of the Exploration Team program design model including the development of an evaluation plan that assesses the advantages and disadvantages of the experimental model over prior Mission approaches to design. A graphic presentation of the Exploration Team's program design model is presented as Appendix I to this enabling Charter.

- (b) A democracy "results" package consisting of Steps 1 through 9 of the Exploration Team's program design model including identification and validation of ultimate customer needs, selection of USAID's democracy partners, development of analytical/causal frameworks, preparation of appropriate obligation documents; preparation of customer service plans by USAID and its partners, and preparation of appropriate documentation.
- (c) Enhanced team participation skills among "D" Team members; the development and documentation of team process tools that proved particularly helpful to the "D" Team; and a sharing of the "D" Team's experience with USAID/Bangladesh and Agency staff.

4. Expected Activities of the Team

- (a) Develop and implement an evaluation of the experimental design model.
- (b) Develop and implement a work plan for achieving the "D" Team's goals.
- (c) Develop and implement methods to detect end user needs with regard to democracy; develop selection criteria, select USAID's democracy partners, and negotiate "development agreements" with partners; develop analytical causal frameworks and conduct supplementary analyses that validate planned outcomes with USAID's ultimate customers; prepare appropriate analytical and obligating documentation; and develop customer service plans linking USAID to its partners and its partners to its ultimate customers.
- (d) Develop and carry out activities for enhancing team participation skills among "D" Team members, sharing the "D" Team's experience with team building and effective team tools with USAID/Bangladesh and Agency staff.

5. Resources Available to the Team

- (a) A basic framework agreement with the Government of Bangladesh (BDG) that establishes the procedures to be followed by USAID and the BDG in designing a new democracy program and required documentation.
- (b) Human resources as noted in Sections 9 and 10 below.
- (c) If necessary, sufficient FY 1995 OYB resources to finance the participation of USAID's partners in the development of analytical frameworks, the identification of activities, and customer service plans (i.e, Steps 4 and 7 of the experimental design model).

- (d) Sufficient operating expense funds to conduct end user/ultimate customer needs assessment (step 2 of the experimental design model).

6. Communications with Senior Management

- (a) The "D" Team will communicate with the USAID Director and Deputy Director through the team leader or facilitator. The team will keep these individuals informed about its progress against an agreed schedule and when the team approaches the agreed out-of-bounds conditions.
- (b) To facilitate the Director's and Deputy Director's understanding of team progress, these officials will have electronic access to the minutes of all team meetings and other documents. The team will also provide specific reports on major accomplishments as appropriate; e.g., its conclusions with regard to end user needs or final decisions as to USAID's democracy partners.
- (c) The Director and Deputy Director will communicate with the team through the team leader or facilitator. They will keep the team fully informed about the substance of discussions they have with non-team members, including interested host government and USG officials and potential USAID democracy partners, who may have bearing on the work of the team.
- (d) The Director and Deputy Director can request meetings with the Team as appropriate. The team leader or facilitator can request meetings with the Director or Deputy Director as appropriate.
- (e) The "D" Team will report on the results of the experiment and its experience as a team to USAID/Bangladesh and Agency staff as appropriate.

7. Authorities

- (a) Within the context of this charter and in conformity with guidelines for country experimental laboratories (State [94] 291181 and State [94] 323961), the Democracy Team is authorized to act as an empowered, self-managed, special purpose team to accomplish goals as agreed in Section I of this enabling charter.
- (b) Within the context of this agreement and the Agency's core operational values (i.e., managing for results, teamwork, empowerment and accountability, and participation and customer focus), senior management will judge the team's products in terms of the Agency's "Building

Democracy" strategic statement and implementation guidelines and customer needs as identified by the end users of USAID's assistance.

- (c) The Mission Director hereby redelegates his authorities to approve implementation orders to the individual serving as the "D" Team Leader.

8. Agreed Issues for Team-Management Consultations

- (a) Negotiation of the team's charter.
- (b) Violation or potential violations of Federal Acquisition or Assistance Regulations or guidelines covering conflicts of interest of employees.
- (c) Substantial scheduling delays including those caused by a lack of resources.
- (d) Substantial revisions to the experimental model required to make it work.
- (e) Breakdown in team process including cooperation with USAID's partners or the host government.
- (f) Results of the end user/ultimate customer needs survey and validation of desired program outcomes with end users/ultimate customers.

9. Skills/Qualities Necessary

- (a) Knowledge of Bangladesh's political processes, institutions, and rules of behavior.
- (b) Knowledge of and skills in executing techniques to detect and identify the democracy "needs" of USAID's ultimate customers.
- (c) Knowledge of USAID's operational procedures with special knowledge of assistance mechanisms, financial analysis, and program evaluation.

10. Team Makeup

- (a) Core Team

Members: Rabitil Hoque, Sarah-Ann Lynch, Fazlul Karim, Alvera Sweet, and Zareen Khair

Leader: Karl Schwartz

Facilitator: Rosalie Fanale

(b) Virtual Team

Legal Issues: Alexander Newton
Participant Training: Riffat Sulaiman
Bangladeshi Politics: William Hill
End User Methodology: Anne Sweetser
Evaluation: Turra Bethune

(c) Customer Needs Detection/Validation Support

For a period of about five weeks (March 26 to April 30), the D Team will need to supplement its membership with six to eight temporary members fluent in Bangla who will work with the core team to develop and conduct the end user/ultimate customer needs detection step of the experimental program design model. Similar support for a period of about two weeks (July 16 to August 15, 1995) will be required to validate desired program outcomes with end users/ultimate customers.

(d) Consultants

Team-building: Camille Cates Barnett
Experiment Evaluation Plan: Thomas J. Cook

11. Schedule

The workplan and schedule of critical milestones is presented as Appendix ____.

12. Effective Dates of Charter

Richard Brown

Rablul Hoque

Lisa Chiles

Sarah-Ann Lynch

Fazlul Karim

Alvera Sweet

Zareen Khair

Rosalie Fanale

Karl Schwartz

Riffat Sulaiman

Anne Sweetser

Alexander Newton

William Hill

Turra Bethune

APPENDIX II

STRATEGIC OBJECTIVE TWO PACT

BETWEEN

HEALTH AND POPULATION TEAM

AND

USAID/DR MISSION DIRECTOR

June 1, 1995 - March 31, 1996

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USAID/DR STRATEGIC OBJECTIVE TWO

***INCREASED USE OF PRIMARY HEALTH CARE SERVICES
BY UNDERSERVED POPULATIONS***

I. VALIDATION OF THE STRATEGIC OBJECTIVE

This Strategic Objective (SO) was originally formulated in January, 1995 by the SO Team members. Given the dual challenges of future budget constraints and a desire to narrow the focus of the portfolio, the team developed a transitional strategy for the period of FY95-96. A key feature of this strategy is the intent to terminate USAID support for child survival activities as of September, 1996. During the transition period Mission support will be directed to address key public health problems in the areas of reproductive health, AIDS prevention, maternal-child health and provision of water and sanitation systems. Key statistics for each of these areas are presented in Table 1. The needs are real and great. SO2 feels that USAID possesses a comparative advantage in these areas and, in collaboration with our partners, can improve the utilization of primary health care services.

II. RESULTS AND PROGRESS:

The SO's Results Framework is presented in Annexes 1 and 2. Annex 1 illustrates the relationship between the knowledge and access results which contribute to the use results at the SO level. Annex 2 provides the indicators to be used to measure the achievement of the SO's results.

With the exemption of MCH results, all other SO level results will be achieved within a period of 5 years, assuming current levels of funding are continued. Lower level (access and knowledge) results will be attained within a 2-4 year time period. Indicators for these results reflect the sum of actions contributed by the service delivery agencies supported by USAID/SO2. Annual work plans for each agency will reflect the relative contribution of each towards to achievement of a given result(s). The performance of a given agency will be measured by their achievement of those stated results.

It has become increasingly evident that the Dominican Republic lacks recent data on key demographic and health statistics that allow for adequate monitoring and evaluation of program advances. Thus, the upcoming DHS, planned for 1996 will be the first national survey to provide information since 1991. In addition, SO2 is

working with its partners and other donors to agree on specific indicators that will be used to track progress towards achieving results. Annual benchmarks will be established to the extent possible at the Results Package level using data collected by the NGOs.

Individual project and institution specific progress will be monitored via service delivery statistics, NGO reports, baseline and midterm evaluations.

III. IMPLEMENTATION METHODOLOGY:

In June-July, 1995 the team discussed the SO statement with the extended team and decided that the SO was still valid, and in fact, captured the set of activities and interventions being supported by USAID and its partners.

The Team proposes that USAID continue its support via NGOs to increase use of family planning and AIDS prevention services as well as water and sanitation systems. Services will be targeted to undeserved populations including, specific geographic areas, and age groups. The specific subpopulations to be targeted by intervention are reflected at the indicators levels of the results framework.

A. RESULTS PACKAGES (RP)

Per the Directives recently issued by USAID/W results packages consist of people, funding, authorities, activities and associated documentation required to achieve a specified result or set of results within an established timeframe. Based on these criteria the SO2 team has identified four results packages:

- RP1: Reproductive Health**
- RP2: HIV/AIDS/STDS Prevention**
- RP3: Maternal-Child Health**
- RP4: Water and Sanitation**
- RP5: Health Policy (in development)**

For each of the RP described above the SO team has established RP teams which are empowered by the SO team to coordinate the development, negotiation, management, monitoring and evaluation of activities designed to achieve the agreed upon results. Each of the Results packages teams will be composed of a team leader/manager, one or more resource technical members and support members.

Extended RPT will include: contractors, Cooperating Sponsors (ie. CARE), GODR representatives, NGOs and periodically end customers. At present, virtual members include representatives from USAID/W and contractors headquarters offices. The SO2 team will follow the recent USAID/General notice from the Management and

General Counsel offices, "Guidance on Consultation and Avoidance of Unfair Competitive Advantage", which defines the level of team member participation from contractors or grantees, partners and counterparts.

The SO Team workplan (see Annex 3) which will be reviewed and approved by the team will be the basis for implementation of activities. The workplan will be reviewed at least quarterly. The individual Results Package Teams will be responsible for the developing their own workplans as well as tracking and reporting progress towards results. Each RP workplan will highlight major activities to be achieved during the corresponding period. Weekly meetings by the team will be opportunities to share information and review SO Team and RP Team advances and problems encountered.

RPT 1 Reproductive Health

Increased Contraceptive Prevalence

This team will be responsible for the accomplishment of three intermediate results: increased availability of family planning services; increased percent of satisfied users; and improved family planning logistics systems. Achievement of these results will contribute to reproductive health services widely available, with a high rate of adoption of contraceptive practices by the end of the SO.

Team Leader

Paul Schenkel (70%)

Technical Resource Member

Christine Adamczyk

Support Members

Marty Napper

Elisané de Moya
Marina Taveras
Sonia Martín
Rosanna Medina

Extended Members

Edward Scholl/María Castillo Development Associates
Alonzo Wind/Romana Campos, CARE
Dra. Carmela Cordero, AVSC
Dr. Tabaré de los Santos, CONAPOFA
Gilka de Chez/Alexandra Batista, UNFPA
NGOs: PROFAMILIA, ADOPLAFAM, MUDE, MNSA

Virtual Members

G/PHN/POP/CLM (contraceptive shipments)
Rich Cincotta, G/PHN/POP/P&E

RPT 2 Maternal Child Health

Improved knowledge of and access to selected MCH interventions

The team will be responsible for the achievement of two intermediate results: improved knowledge of benefits of exclusive breastfeeding, and improved knowledge of how and when to provide ORT. These results will contribute to the SO outcome of communities empowered to take action and know where to seek resources to meet their maternal-child health needs.

Team Leader	Christine Adamczyk (70%)
Technical Resource Member	Sarah George
Support Members	Marty Napper Marina Taveras Elisané Moya Sonia Martín Rosanna Medina
Extended Team	Alonzo Wind/Cecilia Corporan, CARE Bolívar Pou/Zelma Zapata, ENTRENA Aida Oliver, UNICEF Salud Materno-Infantil, SESPAS
CONASUMI	Ángel Luis Álvarez/Johnny Rivas, Fátima Guerrero, Development Associates Clavel Sánchez, WELLSTART PAHO
Virtual Team	G/PHN/MCH, Melody Trott LAC/HPN, Jim Sitrick

RPT 3 HIV/AIDS/STD Prevention

Improved knowledge of and access to AIDS prevention, practices and services

The team will be responsible for the achievement of three intermediate results: improved knowledge of HIV/AIDS preventive measures; improved access to appropriate STD services; and improved access to condoms. The expected achievements at the end of the SO period will be reduced high-risk behavior contributing to the spread of HIV/AIDS/STDs in target populations.

Team Leader	Sarah George (70%)
Technical Resource Member	Paul Schenkel
Support Members	Marina Taveras Elisané de Moya Sonia Martín Jacqueline Santelises
Extended Team	Martha Butler, AIDSCAP Ernesto Guerrero, PROCETS NGOS Private Sector PAHO EEC Peace Corps
Virtual Team	Ricardo Calderón, AIDSCAP/W Denise Rouse, G/PHN/HN/HIV-AIDS

RPT 4 Water and Sanitation

Increased knowledge and access to potable water and sanitation services

The team will be responsible for the achievement of four intermediate results to improve: water availability; knowledge of hygiene practices; appropriate wastewater management; and community management of water and sanitation systems.

Team Leader	Odalís Pérez (40%)
Technical Resource Member	Richard Mangrich
Support Members	Marina Tavares Elisané de Moya Mercedes Villari Marty Napper Jacqueline Santelises
Extended Team	Bolívar Pou, ENTRENA Mario Lima/Luis Roa, CARE INAPA CAASD NGOs
Virtual Team	John Austin, G/HCD Rick Freeman, LAC/ENV Carleen Yocum, REA/CC

RPT 5 Health Policy

in development

B. TEAM WORKING AGREEMENT

1. **Be an advocate for the team and its customers**
Volunteer to lead. Place trust in your fellow teammates.
2. **Contribute to consensus building**
Actively participate in the team decision making process.
3. **As a team member always remember:**
People react favorably in situations which help satisfy personal needs and team obligations.
4. **Open to receive and provide feedback**
Practice open communication and listening skills.
Provide clear and concise feedback to other team members. When receiving feedback team members should actively listen and acknowledge understanding of message.
5. **Identify and raise issues/problems in a timely manner**
6. **Manage effective meetings**
Select a facilitator to run the weekly meeting. Follow an agenda and keep meetings as short and focused as possible.
7. **Promote a fun work environment**
An environment where the team members encourage each other to grow in a professional atmosphere of trust, understanding and cooperation.
8. **Keep it simple**

C. TEAM COMPOSITION AND ROLES

NAME	TEAM ROLE	ADMINISTRATIVE RESPONSIBILITIES
Christine Adamczyk	Strategic Objective Team Leader Results Package Team Team leader RPT1 Resource Donor	Coordination/ Liaison. Health Sector Reform/Policy. Wellstart: Field Support.
Sarah George	RPT3 Team leader RPT2 Resource member	Title II Program (CARE). AIDSCAP (FHI).
Paul Schenkel	RPT1 Team leader RPT3 Resource member	Health Policy. Development Associates, Inc. AVSC (Field Support). MACRO (Field Support).
Odalís Pérez	RPT4 Team leader	Environmental Health Project.
Marina Taveras	PDO Support to RPTs	USAID's policies/ regulations, project design/ implementation/ programming/monitoring legal review coordinator.
Elisané Moya	Financial Support to RPTS	Funds control, condition precedents, PIOs and PILs, waivers, claims/disputes. Budget Accruals/Expenditures/ Section 1311. Financial Analysis Review/Pipeline analysis. Internal management controls, surveys, audits.
Richard Mangrich	RPT4 Resource member	PVO Co-Financing Project.
Sonia Martín	Administrative Support to RPTs	Documentation support; PIOs, small grant, management, quality control, contraceptive shipments, tracking, maintenance of library/database.
Jackie Santelises	Administrative Support to RPTs 2 & 4	SO Time & Attendance.
Rosanna Medina	Administrative Support to RPTs 1 & 3	

D. CONTRACT WITH TEAM LEADER: Christine Adamczyk

1. **COMMITMENT TO TEAM CONCEPT**

COMMITTED TO TEAM GOALS
COMMITTED TO EMPLOYEE DEVELOPMENT
ACCOUNTABLE TO TEAM
ABILITY TO KEEP RESULTS IN MIND
BELIEF IN FUNCTIONING AS TEAM
EMBRACING TEAM WORK
WILLINGNESS TO LEARN TEAM LEADERSHIP SKILLS

2. **FACILITATING SKILLS**

FACILITATOR
DEMONSTRATE WILLINGNESS TO CHIP IN
"WALK THE TALK"
ABILITY TO PROVIDE TIMELY FEEDBACK
ABILITY TO KEEP MEETING FOCUSED
RESOLVE CONFLICT
ABILITY TO "HEAR" IDEAS, NOT JUST LISTEN
ABILITY TO SEE EACH TEAM MEMBER AS EQUAL AND FOSTER THIS IDEA
ABILITY TO INTEGRATE SKILLS OF TEAM MEMBERS
COMMUNICATION SKILLS
TEACHES/COACHING OTHERS WITHOUT TELLING WHAT TO DO

3. **"OUTSIDE SKILLS"**

LIAISON WITH OUTSIDE CONTACTS
NEGOTIATION SKILLS WITH OUTSIDE
COMMUNICATION SKILLS WITH OUTSIDE

4. **TEAM WORK**

HAS TRUST IN TEAM MEMBERS TO DO THEIR JOB
RECOGNIZES/ACCEPTS STRENGTHS/WEAKNESSES OF TEAM MEMBERS
HELPS EVERYONE TO SUCCEED
ACCEPTS/GIVES CONSTRUCTIVE CRITICISM
MODELS BEHAVIOR HE/SHE WANTS TO SEE IN OTHERS
KEEPS FLEXIBLE/OPEN MIND

5. **ETHICS/PERSONAL**

HONEST WITH HIM/HERSELF AND OTHERS
TRUSTS HIM/HERSELF (SELF CONFIDENCE)
POSITIVISM AND ENTHUSIASM
ENSURES CREDIT GOES WHERE CREDIT IS DUE

E. SO WORKPLAN

Annex 3 presents the SO and RP workplans for the period of this pact. It includes major activities, dates and persons or RP Teams responsible. The workplan and progress to date will be reviewed with Mission Management on a semi-annual basis. SO2 Team will review progress on a quarterly basis, which permits the implementation of a realistic workplan which responds to ever changing circumstances.

Individual Result Package Workplans will be reviewed by members and team leader.

F. SO2 CUSTOMER SERVICE PLAN

Consistent with USAID's core values, the SO2 team has developed its **Customer Service Plan**, to ensure that its activities maintain a customer focus to address end-user needs more accurately, and thus deliver better results. The plan specifies: how the team will ascertain and verify customer needs and perceptions and how we will incorporate customer feedback into our activities; and, it establishes service quality principles and standards.

WHO ARE OUR CUSTOMERS AND PARTNERS?

SO2's ultimate customers are primarily socially and economically disadvantaged Dominicans in the urban barrios and rural communities who are not served by public health institutions and who look toward the private sector and non-profit organizations to meet their health services needs.

Results Package

Target Populations

Reproductive Health

Postpartum women
Adolescents
Men

MCH

Women of reproductive age and children
< 5 years in Regions IV, VI, VII

HIV/AIDS/STD Prevention

Commercial sex workers
Homosexuals
Adolescents
STD patients
General population

Water & Sanitation

Rural communities (IV, VI, VII)

Urban barrios (Region O)

CUSTOMER CHAIN FOR EACH OF THE RESULT PACKAGES UNDER SO2.

The graphics in Annexes 4 through 7, show the flow of the services and products the SO2 Team provides to the ultimate customers through its partners and intermediate customers, for each result package. Contact points for these linkages are also identified.

SURVEYING OUR CUSTOMERS' NEEDS.

In order to determine customer satisfaction and improve our knowledge about their views of our activities, the SO2 team will solicit customer participation during implementation of result packages activities, and will seek feedback through a variety of channels which are further shown in detail.

To ensure that appropriate data is collected during field visits, the team will develop guidelines, which may include questions as: Who are the customers?, Who are the intermediary agencies? What is the activity/intervention? What's the perception of the customer in connection with the service received? How is this activity contributing to the results expected at the SO or RPT level?. Recommendations resulting from this feedback will be incorporated into our activities.

HOW DO WE KNOW WHETHER OUR CUSTOMERS/PARTNERS ARE SATISFIED?

<u>Who?</u>	<u>Methodology</u>	<u>Feedback Mechanism</u>	<u>How Often?</u>
Customers/ Partners	Field Trips (by USAID Officials/ Contractors)	Trip Reports Informal conversations in the field	In addition to regular contact with Partners, feedback sessions with customers/partners will be scheduled within the SO2 Team Workplan .
SO2 Team sharing	Meetings with Partners	Report/Memo to the files	
	Evaluations	Report/Briefing oral and written	
	Surveys	"	
	Face to face contact	Memo to the files	
	Focus groups	Video Tape/photos	
	Testimony		
	Gossip		
	Community groups		
	3rd. Party Reports		

We will share this information with each team member with the objective to agree on corrective actions to improve our service quality and/or incorporate customers' needs and concerns within our activities. The team proposes quarterly review of information gathered from our customers/partners at the Results Package level. There will be a semiannual review at the SO level.

PRINCIPLES OF CUSTOMER SERVICE.

- * The SO2 Team will strive for respect, openness, professionalism and understanding among its members and with its partners and customers. Complaints will be fairly and resolved in a timely manner.
- * We will involve partners and customers during the design and implementation of our activities and will use a variety of means to obtain feedback from them, in order to identify client's needs and priorities.
- * We commit ourselves to support our customer's needs to maintain a smooth delivery of service.
- * We will use feedback from partners and customers to manage our programs for results.
- * We will keep bureaucracy to a minimum, and will simplify processes and procedures to make them user friendly.

CUSTOMER SERVICE STANDARDS.

- * We will annually plan for training needs of our team members in order to enhance their abilities and skills in supporting team's and partners' activities and customers' objectives.
- * We will keep our partners/customers informed through scheduled meetings to discuss activities, progress, problems and options. Additional professional assistance will be contracted when needed.
- * Questions, issues, will be promptly addressed through regular or adhoc meetings, letters, and/or telephone calls, as appropriate.
- * We will promptly analyze results of surveys/evaluations in order to take necessary corrective actions to improve our service quality and customer satisfaction.
- * The Team will follow-up payment requests from contractors to ensure that they are processed by the Mission/USDO within 30 days.

IV. RESOURCES

A. STAFFING

SO Core Team Roster

Team Member	SO Time Commitment (%)
Christine Adamczyk (USDH)	100
Sarah George (FSNPSC)	100
Paul Schenkel (USPSC)	100
Sonia Martín (FSNDH)	100
Jacqueline Santelises (FSNPSC)	100
Rosanna Medina (FSNPSC)	100
Elisané de Moya (FSNDH)	50
Marina Taveras (FSNPSC)	40
Odalís Pérez (FSNPSC)	40
Rick Mangrich (USPSC)	20
TOTAL FTE	7.5

B. ADDITIONAL NEEDS

Item	Activity/ Location	Participants	Date	Funding/ Source US\$
See Annex 8 Employee Development	SOTA Workshop Wash. DC	C. Adamczyk	6/95	
Conferences	HIV/AIDS Conf. Wash. DC	S. George	8/95	Project \$1,500
	Contact '95, Miami, FL	R. Mangrich	9/95	Project
Global/LAC Bureau TDY assistance	SO Strategy	SO Team	Fall/95	Global/ LAC
Consultations	USAID/W MACRO	P. Schenkel	9/95	Project \$50
Representation	Team reception	SO Team	10/95	OE \$200
Equipment	Computer	S. George		Project \$3,100
	Flip Chart	SO Team		\$500

C. PERSONNEL EVALUATIONS

Personnel files and time and attendance records will be maintained at the SO team or office where the member dedicates the majority of her/his time. Responsibility for completing team member performance evaluation is listed below. Through the employment of the 360 degree system of evaluation team input will be solicited by the evaluator for those work objectives corresponding to SO2.

<u>Team Member</u>	<u>Evaluation Responsibility</u>
Christine Adamczyk	Michael Deal
Sarah George	Christine Adamczyk
Paul Schenkel	Christine Adamczyk
Rick Mangrich	SO4/Tom Miller
Odalís Pérez	SO4/Tom Miller
Marina Taveras	PDO/Colette Cowey
Elisané Moya	CONT/Marsha Smith
Sonia Martín	Christine Adamczyk
Jacqueline Santelises	Sarah George
Rosanna Medina	Paul Schenkel

D. ESTIMATED PROGRAM FUNDING REQUIREMENTS

Project Number and Funding Source	FY95 (\$ '000s)	Estimated FY96 (\$ '000s)
Bilateral Projects:		
517-0259 Family Planning & Health	3,666	2,630
517-0247 PVO Co-Financing	760	455
Global Projects:		
936-3023 DHS III	197	0
936-3057 CCP	369	470
936-3058 CARE	200	140
936-3038 FPLM/JSI	49	0
936-3068 AVSC	158	0
936-5972 AIDSCAP	750	700
936-5966 Wellstart	135	0
936-6004 Peace Corps SPA	43	45
936-5994 Environmental Health	0	50
936- Adolescent Rep. Health	0	70
Subtotal:	6,327	4,560
Title II CARE	4,200	3,800
SO Total	10,527	8,360

E. DELEGATION OF AUTHORITY

General Applicability:

The team requests a sufficient level of authority to plan, develop, implement and evaluate activities within the SO Team context. The Team Leader will be designated at the team member having the authority to a) approve subgrant proposals; b) sign implementation letters; c) approve a team training and travel plan; and, d) approach the Director for sensitive issues. Requests by individual team members for funding for travel and/or training/conferences, will be approved or disapproved by team consensus and then submitted to the EDC for approval. The Team Leader will be the member designated to sign the formal request.

Authority to administratively approve and sign vouchers will be designated to Results Packages, with the project manager/COTR for each contractor holding signatory responsibility.

The team requests authority to allocate and reallocate resources within the SO and RPs based on team decisions. Decisions on supporting new activities or terminating activities will be done in the same fashion. It is understood that when decisions of a strategic nature are being considered the team will consult with the Front Office, Support Offices, SO Teams as well as our partners seeking input.

Approvals/Clearances:

The Team proposes two basic concepts:

1. As part of an effort to streamline the process, internal discussions at the Team or RP level will determine whether to approve/clear a given document or action.
2. In those instances where the team does not have sufficient authority to approve/clear the intention is to have only one additional level or clearance/approval be necessary to obtain final approval. For example, a team cleared action would only be submitted either to the Director, Deputy Director, Controller, the Regional Contracting Officer or the Executive Officer for final approval.

The matrix in Annex 9 shows how the team proposes clearances/approvals authority should be exercised in connection with the different action documents produced.

F. AGREEMENTS WITH SUPPORT OFFICES

During the period of the pact, and in some cases beyond, the Team requests assistance from the support offices for the following:

RCO: Incremental funding of Development Associates, Inc. contract, execution of buy-in to Macro, Int. and amendments to PVO Co-Financing Project for CONASUMI, and IDDI.

CONT: Financial analysis, payments, payroll, cashier services.

PDO: Budget negotiations with LAC Bureau, and local currency under Family Planning & Health Project (AIDS prevention activities) and overall strategy within the context of the overall Mission portfolio.

MGT: General administrative support, PSC Contracts, office supplies and equipment, travel.

V. OTHER DONOR CONTRIBUTIONS:

SO2 will follow the Mission's strategy of using donor coordination as a catalyst to stimulate critical change, a crucial component to achieving development goals for the Dominican Republic. We plan to use this catalytic approach in our work with multilateral and bilateral donors in all areas of the SO2 portfolio to maximize resources and avoid duplication of effort.

VI. KEY ASSUMPTIONS AND OPTIONS

Assumption	Options/Assumption is not correct
Current level of funding will be maintained.	Strategy will be reviewed/ activities will be adjusted accordingly.
Level of SO staff will remain unchanged.	Depending on severity of cuts RPs will be rearranged/scope of strategy will be reduced.
Advances in health sector reform will be minimal until a new Government is elected.	Focus of the strategy will be reviewed if opportunities for more Mission's involvement are identified.
Donor support to SO's related activities is complementary to our efforts.	Stress coordination/cooperation to optimize resources.

REFORM SUB-CONTRACT - "TEAMS"

Ground Rules

- ? There will be open and honest discussion.
- ? Respect the right for each member's views to be heard and considered.
- ? Agree to share information.
- ? Remember to listen.
- ? Avoid the "yes, but..." syndrome.
- ? Try not to be defensive; accept constructive criticism.
- ? Keep a sense of humor--have fun!

Operating Rules

- ? Agree on the Team mission.
- ? Prepare a team contract.
- ? Participate in team/coaching training before working on a team.
- ? Make decisions by consensus.
- ? Alert other team members as early as possible, if an assignment cannot be completed in the timeframe agreed upon.
- ? Offer assistance to other team members when informed that a member is having difficulty with completing an assignment.
- ? Communicate to other team members reasons for not performing assignments according to operation rules.
- ? Discuss and agree to an approach to handling the assignment with the team member.

- ? Discuss the problem with the team member and if there is no change, the team leader will ask the member to leave the team.
- ? Notify the former member's supervisor that the person is no longer part of the team. This notification is the responsibility of the team leader.

Logistics:

- ? Meeting times: 10:30 to 12 noon, weekly (five-minute grace period)

Note: Team members should block out that time on their calendar through April, the expected duration of the team.
- ? The **Agenda** will be disseminated the day before each scheduled meeting. Items will come from minutes, team members who contact the Team Leader, and other sources as appropriate.
- ? The **Minutes** will contain: decisions, assignments (who and when), and will be disseminated within two working days after each meeting.

Roles:

- ? **Team Leader.** Prepares and disseminates agenda, assures results are achieved--pushes if necessary, obtains team members, and leads discussions.
- ? **Minute Taker.** Role will rotate among team members; prepares, disseminates and makes necessary corrections to minutes.
- ? **Facilitator.** Lead discussions, coaxes team member participation, and work with Team Leader to carry out the agenda for the meeting.

Team Agreement

What is the need for a "Team Agreement"?

The "Team Agreement" is a tool to help you and other team members gather up-front information about the team and your role within it.

In order to take a leadership role within the team and to contribute to its success, you need to have a clear understanding of:

- 9 Why the team was formed
- 9 How the team and its work fit into the larger organization
- 9 What the performance expectations are for the team

Later on, when significant changes occur within the team or within the larger organization, the "Team Agreement" will help you review this essential information again.

When should the team use the "Team Agreement"?

Specific cues the team should watch for are:

- 9 Starting a new project
- 9 Needs to adjust to a change in direction or plans
- 9 Has difficulty meeting deadlines
- 9 Has a new leader
- 9 Is clarifying roles and responsibilities
- 9 Or when the team changes its focus

How is the "Team Agreement" used?

When a new team is forming, the team leader or a senior manager usually gives the team essential background information, including why the team was formed and how the team's mission fits into the organization's mission and goals.

As the team leader or senior manager presents the information, the team should record it on the "Team Agreement". Ask questions to be sure you have all the information you need for a complete response. Ask the team leader, a senior manager, or other team members for the information you need to complete any items where 'No' was checked for enough information. The team member section should be completed by each team member individually.

When the team changes direction, the agreement will help you understand the *scope of the change* and the impact it will have on the team and on the team's purpose or mission.

When you join an existing team, you may want to meet with one or more team members and ask them the agreement questions.

Why is the "Team Agreement" beneficial to the team?

As the team begins to develop and gains experience, refer to the agreement periodically to see if the team's activities still align with its original purpose and goals. Measure your action plans against the agreement.

Once team members have a clear idea of the scope of the team's assignment, individual roles can become more specific and targeted to the desired results.

1. PROJECT OBJECTIVES

(To be completed as a team)

- a. What is the team's name, purpose, and scope of responsibility?
- b. How does that purpose fit into the larger organization's goals/strategies?
- c. Who will benefit from the efforts of this project?
- d. What milestones exist for our *team*? *(Please attach action plan.)*
- e. What will we measure to determine if our team has been successful? *(i.e., critical success factors)*
- f. What is our plan for establishing a baseline, and measuring to evaluate *success*? *(Include time frames)*

2. DECISION MAKING

(To be completed as a team)

- a. What are the limits on our authority to make decisions?
- b. Who approves decisions that are outside our limits?

3. TEAM NEEDS/RESPONSIBILITIES

(To be completed as a team)

- a. What resources will be available to us? (*i.e.*, people, systems, budget, equipment.)
- b. Will we be doing activities that we don't currently know how to do? If so, how are we getting the training we need?
- c. How will we communicate results to our own office and the whole organization?

4. TEAM MEMBER RESPONSIBILITIES

(To be completed by each team member)

- a. What is my specific role on this team? Long-term responsibilities?
- b. What time commitment for participation on this team will be required of me? (Meeting days/times, begin/end dates, and hours per week for *team* related activities.)
- c. As a member of this team, I will have:
 - . No change in job expectations, unless later acknowledged by a revised agreement form*
 - . Will have the following changes in job expectations:

* Upon notification by my team leader, I will notify my supervisor if there are any changes to the time requirements.

5. COMMITMENT

The team receives guidance from _____ and approval for recommendations from _____. This agreement serves as our pledge of commitment to the fulfillment of the team objectives. If needed, this agreement will be revised and will include appropriate signatures.

Signatures:

Employee	Date
Supervisor	Date
Director	Date
Team Leader	Date

ISSUE ADDRESSED PARTICIPATION
Assuming Different Team Roles

TOOL: Defining Team Roles

DESCRIPTION

1. Leader. Primary functions are to
 - (a) Lead team meetings and work with facilitator to plan meetings/agendas and monitor/strengthen team processes;
 - (b) ensure the team has what it needs to make decisions including the "right skills at the right time";
 - (c) provide intellectual leadership; and
 - (d) communicate with non-team members.

2. Facilitator/Process Observer. Primary functions are to
 - (a) with team leader, plan meetings/agendas and monitor/strengthen team processes;
 - (b) advise team on use of alternate team tools and processes;
 - (c) helps identify "right needs at right time," and
 - (d) critiques effectiveness of team processes.

3. Time Keeper. Primary function is to ensure team remains on schedule as per the agreed agenda and of time remaining to complete agenda tasks.

4. Recorder. Primary functions are to:
 - (a) capture core ideas of team discussions, and
 - (b) summarize and record decisions made by team during meetings.

5. Member. Primary functions are to:
 - (a) contribute actively to team problem solving; and
 - (b) carry out assignments between team meetings.

6. Virtual Team Member/Resource Person. Primary function is to provide expert knowledge at critical junctions in the team's problem solving; i.e., "the right knowledge at the fight time."

7. Sponsor. Primary functions are to:
 - (a) serve as the team's advocate vis-a-vis management; and
 - (b) communicate management's interests to the team.

ISSUE ADDRESSED: PARTICIPATION
Increasing Trust

TOOL: Supportive Environment

DESCRIPTION.

1. The team creates a supportive environment by agreeing to several edicts, for example:
 - no question is a "dumb question"
 - each team member is an equal member of the team
 - each team member has the right to speak out if they feel that their opinion is not being heard
 - no team member will dominate the team
 - team members applaud each other at appropriate intervals

2. The team also agrees to several behaviors to add to the supportive environment, such as:
 - team members shall change their seat at the table at each meeting
 - no team member will sit at the "head" of the table (unless there are no seats left!)
 - team members will not interrupt each other
 - team members will follow through on the tasks assigned to them

3. The team sets up a pleasant physical environment for meetings and discussions by providing the following:
 - an appropriate room for meetings
 - tea and coffee for team members
 - flip charts, overheads, and any other tools needed

ISSUE ADDRESSED: EMPOWERING
Clarifying Relationships
also see TASK DEFINITION
Identifying Problems
also see PERFORMANCE
Knowing When Goals Are Accomplished

TOOL: Team Charter

DESCRIPTION.

1. TEAM GOAL - Make goals clear, including the planned schedule.
2. EXPECTED RESULTS OF THE TEAM - The "results" package should be clearly identifiable and measurable.
3. EXPECTED ACTIVITIES OF THE TEAM - e.g., detecting end-user needs, developing criteria for selecting partners, developing and implementing a work plan, etc.
4. RESOURCES AVAILABLE TO THE TEAM - Human and financial resources required should be specified among other things
5. COMMUNICATIONS WITH SENIOR MANAGEMENT - Use of e-mail, team leader, reports, etc. to keep senior management informed should be clarified.
6. AUTHORITIES OF THE TEAM - The team's authorities should be made clear including any special ad-hoc delegations needed.
7. OUT OF BOUND CONDITIONS - Specify the critical ones, e.g., delays caused by a lack of resources, a breakdown in cooperation with USAID's partners or the government, etc.
8. SKILLS/QUALITIES NECESSARY - E.g., knowledge of Bangladesh's political system knowledge or and skills in executing techniques to detect end customer needs, etc.
9. TEAM MEMBERSHIP - Name both the core team and the virtual team.
10. SCHEDULE - Describe the timetable.

11. A sample team charter is attached.

ISSUE ADDRESSED: PARTICIPATION
Spotting Trouble Signs

TOOL: Team Traps

DESCRIPTION.

Teams can get off track in many ways. Here are some early warning signals of inefficiency and unresolved problems. These are traps for teams to avoid. The team agrees to monitor these traps and alert each other if anyone sees these behaviors.

1. Team meetings start late. Team members are late, leave early or are absent more often.
2. No agenda exists, the agenda is not followed or the agenda is not known to the team in advance of the meeting.
3. Some team members dominate the discussion, others are silent or say very little.
4. Team members interrupt each other, carry on side conversations or ignore ideas and issues raised.
5. Decisions made at the team meetings are reversed or modified outside the team. Decisions made at one meeting are regularly re-visited at the subsequent meetings. No decisions are reached by the team.
6. The team is involved in a long task that engages only a few team members.
7. The team begins "group editing".
8. The team is not having fun. Members begin to dread going to team meetings.
9. It seems like a long time since anybody on the team heard something new or learned something.
10. Team members complain about the team outside of the team meetings.
11. Team meetings are primarily used to re-work sub-teams' work.

12. There are fewer and fewer volunteers for team tasks.
13. Team tasks are not clearly assigned.
14. Assignments are not completed on time.
15. Interpersonal problems are allowed to fester and are not resolved.