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ON  
ACTION PLAN TO IMPROVE MANAGEMENT  
IMPACT OF A.I.D. PROGRAMS

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Index

	<u>Page</u>
A. Key Trends: Situation Summary . . . . .	1
B. Progress Noted . . . . .	2
1. Preparation of Policy and Program Guidance . . . . .	2
2. Pilot Analyses of Management Dimension in Project Assistance . . . . .	3
3. Emerging Innovation and Experimentation . . . . .	3
4. Expanding Role of Private and Voluntary Organizations (PVOs) . . . . .	4
in Management Improvement Assistance	
5. Survey of A.I.D.'s Personnel (Background and Position Descriptions) . . . . .	5
Relating to Management Assistance	
a. A.I.D./Washington . . . . .	5
b. The Field . . . . .	5
6. Greater Management Exposure in Staff and Participant Training . . . . .	5
a. Staff Training and Development . . . . .	5
b. Participant Training . . . . .	6
7. Limited Progress in Field Support . . . . .	7
8. Research and Development (R&D) Planning and Program . . . . .	7
a. Agriculture Sector Implementation Training . . . . .	8
b. Commodity Action Systems . . . . .	8
c. Agricultural Management Training and Support . . . . .	8
d. Health Planning and Management . . . . .	8
e. Project Management Activities . . . . .	8
f. Sectoral Management Support Services . . . . .	8
9. R&D Utilization and Professional Exchange . . . . .	9
C. Operational Constraints . . . . .	9
D. Recommendations for Immediate Action . . . . .	10
1. Improve Resource Mobilization for Project Assistance . . . . .	10
2. Improved Staffing . . . . .	11
3. Improve Agency-wide Technical Coordination . . . . .	11

Index

(Continued)

	<u>Page</u>
4. Policy and Program Guidance . . . . .	11
5. Inventory/Directory . . . . .	11
E. Follow-on Action Requiring Additional Analysis . . . . .	11
1. Continue Project Analyses . . . . .	11
2. Continue Analysis of Agency Technical Staff Capacity . . . . .	
3. Improve Professional Resource Mobilization and Quality Control . . . . .	12
4. Expand the R&D Utilization and Professional Exchange Effort . . . . .	12
5. Assess the Relevance and Utility of Management Training Efforts . . . . .	12
6. Prepare a Phase II Action Plan . . . . .	12

PROGRESS REPORT  
ON  
ACTION PLAN TO IMPROVE MANAGEMENT  
IMPACT OF A.I.D. PROGRAMS

This report reviews progress on the Agency's Action Plan to Increase the Management Impact of A.I.D. Programs. It was developed in conjunction with staff representatives of each of the Agency's regional and central Bureaus whose cooperation was excellent despite many competing demands. The report summarizes and comments on Agency management assistance efforts in terms of key trends, progress noted, operational constraints, recommendations for immediate action, and follow-on action. The report covers specific progress on the Action Plan for the period August 20-December 17, 1976. It also provides a broader status report on Agency progress in management assistance.

A. Key Trends: Situation Summary

Several noteworthy trends have begun to emerge:

1. There is a substantial, widespread, rising level of management assistance investment, primarily within a sectoral framework of Agriculture, Health, and Family Planning. There is also a continuing substantial investment in managerial skills development.
2. There is a greater complexity to sector management projects than the previous administration projects of the last two decades; for example, individual projects in management assistance often concern multiple levels of organizational jurisdiction (center, regional, and local), and frequently involve a multiple set of implementing organizations.
3. There are a number of significant innovative and experimental project efforts which merit increased professional attention and review. A few examples are: Agricultural management in Ghana and Haiti; Rural Health Delivery in Egypt, and the interregional research and development project in Analysis Methodologies for Education and Human Resources Development.
4. There is an expanding use of private voluntary agencies to provide management assistance abroad.
5. On the debit side, there is widespread concern that the rising volume of management assistance will outstrip the Agency's limited technical capacity. Management assistance is seen as another desirable, but difficult, policy requirement to be confronted while several others are still being installed and tested. Many persons fear that the Agency cannot absorb the essential analytic and "paperwork" requirements, nor adequately monitor the quality and cost-effectiveness of management assistance. Further, more sophisticated implementation needs inevitably follow improved design work as has been shown in Ghana; and we are only

beginning to confront the full implications of "collaborative style" and host country implementation responsibility.

6. These concerns all come together in a strong plea for commitment and support to the Mission's and Bureau's specific operational needs to get the management assistance job done. Operational needs include more technical staff and contract capacity, "how to do it" guidance, and more manageable "paper workload" and deadlines.

#### B. Progress Noted

After a slow-moving period of uncertainty, the Agency has now begun to accelerate the expansion of management improvement in development assistance programs. What were previously pockets of scattered effort are now widespread activity. In the last several years, the neglected management dimensions in development assistance have been well surveyed and articulated, discussed and recognized, and to a large extent accepted as an activity worthy of more development action. L As a result, investment in management assistance has begun to rise substantially.

There is no central source of information on management assistance, in fact, there is a general unawareness of the widespread -- though uneven -- Agency management assistance efforts underway in all regions of the developing world. But concrete evidence indicates that each Agency constituent bureau, regional and central, is now engaged in a wide variety of management improvement efforts addressing a broad spectrum of recipients of development assistance.

There are cited and briefly described below a number of illustrative items of progress:

##### 1. Preparation of Policy and Program Guidance

Extensive effort has gone into the preparation and review of these program documents:

- a. Policy Determination in Development Administration;
- b. Proposed statement of expanded managerial considerations for Project Assistance, Handbook #3, and "Guidelines for Appraisal of Recipient's Project Management Capacity; and
- c. Proposed guidelines for "Institutional and Management Analysis in Sector Assessments."

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L "Organization learning" induced by the Work Group on Management Improvement and Development Administration chaired by Ambassador William O. Hall, and the Research and Development Committee, played an important part in this recognition and acceptance. The support of top-level Agency leadership was essential.

The first two of these program guidance instruments are in Agency clearance. Priority has been given to project level guidance while sector-wide management guidance undergoes further testing in the Health sector.

-- The Agency Management Steering Group recommended in the Sheppard Report has been activated and two meetings held. The full scope and use of this senior-level group are being tested and refined.

-- Extensive effort is being undertaken in the preparation of a series of chapters on Implementation, for Project Assistance Handbook #3, which will be extremely useful in guiding Agency efforts in building recipient's institutional and administrative capacity.

## 2. Pilot Analyses of Management Dimension in Project Assistance

A pilot set of six project analyses designed to improve the quantity and quality of host country management capacity building in development assistance has been completed. The analyses selected cover a wide variety of project types representing useful experience. The six are:

- a. Integrated Agricultural Development - Haiti
- b. Rural Health Delivery - Egypt
- c. Local Development - Philippines
- d. Analysis Methodologies for Education and Human Resources -- on research and development - TA/EHR
- e. Family Planning Program -- Mohammediyah Social Welfare Society - Indonesia
- f. Managed Delivery of Agricultural Inputs and Services -- related to Agricultural Management Development - Ghana

Continuity for the analytical effort will be provided by scheduling on-site field evaluations; for example, Indonesia Family Planning scheduled for Summer 1977. A number of additional projects with a major management assistance component have been identified, several of which merit further study. A summary analysis of the six projects and a follow-on agenda can now be prepared.

## 3. Emerging Innovation and Experimentation

A number of recent projects include innovative and experimental approaches. These provide useful opportunities to capture and record lessons of experience. One example is a pilot project in Egypt designed

to identify and resolve a selected set of management behavioral and motivational constraints to rural health outreach and productivity. Other efforts meriting serious professional attention and continuing review, and offering potential for widespread utilization if the findings are validated, are these:

- the several management projects in Ghana which relate intensive management training to the institutionalized and timely delivery of agricultural inputs and services;

- the agricultural project in Haiti which employs a management implementation team as an integral component of agricultural development assistance.

- the recent project grant to enable U.S. private and voluntary organizations to provide more effective technical assistance and training to their counterpart institutions in the developing world;

- the several projects which are adapting modern project management concepts and practices to developing country needs in Jamaica, Chad, and West Africa; and,

- the relatively new interregional R&D project, Analysis Methodologies for Education and Human Resources Development which attempts to devise a range of methodologies for making better decisions and resolving related managerial constraints in the education sector of developing countries.

#### 4. Expanding Role of Private and Voluntary Organizations (PVOs) in Management Improvement Assistance

Private and voluntary agencies are becoming more effective mechanisms for transferring administrative skills to their counterparts or collaborating agencies in the developing world.

Since 1974 A.I.D. has provided program grants to improve the management capability of a number of private and voluntary agencies which, as a part of their program portfolio, provide management assistance to their counterpart agencies and clients abroad. These include such organizations as International Executive Service Corps, Accion International, Technoserve, Organization for Rehabilitation and Training, and Planning and Coordinating Together. A.I.D. has now created a new concept, "Support to PVOs in Development," to encourage those PVOs or existing consortia groups to provide a variety of administrative and financial management services. The first grant has just been awarded under this program to

strengthen the institutional structure and management of PVOs through a process of needs assessment and problem identification in the area of evaluation, recruitment, and general management.

5. Survey of A.I.D.'s Personnel (Background and Position Descriptions) Relating to Management Assistance

a. A.I.D./Washington

This is a preliminary progress report in that all the Bureaus and Missions have not as yet completed their responses. Each Regional Bureau has reported the establishment of at least one Development Administration position whose incumbent will provide Bureau leadership and resource mobilization for managerial, institutional, and other development administration concerns. Two Bureaus already have Development Administration Advisors on board; the two others are actively recruiting. In addition, each Regional Bureau has accomplished an analysis of existing staff and position descriptions. Results show that a number of sectoral staff have had some training in management as well as field and A.I.D./W management experience; and that many sectoral positions now include development administration functions.

b. The Field

In response to the Action Plan circular airgram, some 26 Missions have reported. Most express favorable recognition of the importance of the management function in dealings with host governments. While a majority claim management skills in their present staff, many recommend regular use of contractual services to supplement in-house talent and more short-term training on management, preferably in the field. A further analysis of A.I.D.'s Washington and field survey of its technical capacity in management assistance will be initiated in January.

6. Greater Management Exposure in Staff and Participant Training

a. Staff Training and Development

Core courses offered by SER/PM/MD and PPC/DPRE deal with in-house management skills and competence of A.I.D. personnel. They are:

- Program Design and Management Seminar;
- Project Design and Evaluation Seminar (by PPC/DPRE); and,
- Project Management Seminar.

Two new offerings, Analytical Skills Workshop and Interaction Management, include concern for problem identification and analysis and the interface with host country people and institutions.

Development administration is treated in the Development Studies Program and the subject is diffused throughout other topics in the Administrator's Development Seminar. The seminar director believes that specific discussion of the area should be incorporated in future ADS seminars. The seminars have already demonstrated the value of cross-regional exchange of ideas -- a principle that needs to be pressed in development administration training and information exchange.

All of the Regional Bureaus are aware of the requirement for treatment of management assistance in forthcoming Mission Directors Conferences, and are planning for such coverage.

Long-term training for selected A.I.D. employees is another means to create career management skills. Quantitative data is needed to determine how the Agency stands in this sphere.

b. Participant Training

There are extensive participant training programs in the U.S. having a management component. They fall into a number of categories:

- i. Groups of participants placed in U.S. institutions in management programs designed to meet specific LDC needs:
- ii. Individual participants whose main program objectives are in the field of public or business administration; and,
- iii. Programs with management content designed as a supplement for those participants with non-management program objectives.

The Training of Trainers in Management program will be conducted overseas in eight regional areas, with a minimum of 50 participants per seminar, in collaboration with the management institutions of the host government.

Additional programs are being planned, and are now in the process of design. The concept is to have programs in the fields of project design and evaluation, cooperative financial administration, and training of trainers in management of short duration as supplementary programs to be added to each participant program regardless of substantive fields of training.

## 7. Limited Progress in Field Support

Efforts made to provide more effective and timely support to Missions in the management dimensions of project design, implementation and evaluation have resulted in moderate progress. But these efforts so far are insufficient. The concrete dimensions of the task -- both the nature and volume of real demand and the corresponding types of help needed -- require clearer definition.

A.I.D./W development, administration advisors have been involved in a number of project reviews during the transition quarter and first quarter FY 1977 and have provided on-site field support to three USAID projects.

In one area of activity -- project management -- an effective mechanism for low-cost field support is now in operation. The USDA Development Project Management Center, funded by TA/DA, with a staff of three and one-quarter man years plus consultants, is responding to USAID Mission requests for project training support in Jamaica and Chad. It also serves the Pan African Institute for Development, and the Inter-American School of Public Administration. The Center provides other useful supporting services such as the creation and dissemination of training materials, operation of a reference library and wide exchange of documentation on project design and implementation.

Professional exchange activity has begun to evolve into an informal, cost-effective, and mutually supportive international network of institutions in project management.

New FY 1977 TA/DA projects in Sectoral Management Supporting Services and Agricultural Management Training and Support will have significant field support components. The Office has also procured a supplement to the Directory of Resources for Project Management Assistance, incorporating resource suggestions from numerous A.I.D./W offices.

## 8. Research and Development (R&D) Planning and Program

The Agency has begun mapping R&D priorities for FY 1979 and beyond. Suggestions from the Missions and A.I.D./W Bureaus will be reviewed along with LDC and other needs analyses to help assure relevance to common LDC managerial needs.

The current R&D portfolio of the Office of Development Administration emphasizes adaptation and application of management knowledge and techniques to field use. Major components are:

a. Agriculture Sector Implementation Training

Phase I of this project reviewed and synthesized successful agricultural planning/implementation experience and training methodology. Phase II will test the findings and institutionalize training for agricultural managers in two countries. (Governmental Affairs Institute)

b. Commodity Action Systems

Studies of fresh produce production and marketing from Central America and of maize systems in Indonesia, Thailand, and the Philippines have contributed systems analysis methodology and many educational products. Utilization efforts are planned in FY 1977 and a follow-on agribusiness project in FY 1978. (Harvard Business School)

c. A new agricultural management training and support project in FY 1977 will analyze lessons of A.I.D. experience in agricultural service delivery and agricultural management training projects and provide field support to USAID Missions to capitalize on this experience.

d. Health Planning and Management

Two new FY 1977 projects will initiate health sector activity. One will develop criteria and guidelines for appraising LDC health management systems. The other will develop methodology and materials for training health systems managers.

e. Project management activities emphasize field support as described on p. 7 and draw on prior R&D work in modern management techniques.

f. A new Sectoral Management Support Services project in FY 1977 will have field service as well as R&D components to address priority USAID and host country needs in management assistance. The R&D Needs analysis for FY 1979 and beyond thus far supports the central thrust of current R&D strategy.

In planning for future requirements, efforts are being made to encourage country and regional R&D initiatives as called for in the Hall Report. One project that illustrates the value of such initiatives was the Latin America Bureau's grant to the Inter-American Institute for Agricultural Sciences to develop its capacity to provide technical assistance in agricultural management throughout Latin America and the Caribbean.

## 9. R&D Utilization and Professional Exchange

TA/DA prepared a utilization plan for development administration R&D outputs as required by the Action Plan. The plan calls for maximum exploitation of existing and accessible knowledge and materials including outputs of TA/DA contracts with Vanderbilt and Harvard Universities. (Governmental Affairs Institute, and Development Alternatives, Inc.) Also, products of the Midwest Universities Consortium Institution Building and Technical Assistance Methodology (PASITAM). A "utilization" airgram describing PASITAM products has been sent to USAIDs.

A.I.D. experience drawn from selected project papers, country analyses, and evaluations will also be appraised and disseminated. Reissue and promotion of key studies such as the Hall Work Group Report and its annexes, are also needed.

Use of existing external facilities and media is another element of the plan. The MUCIA/PASITAM Design Notes and Newsletter are examples. Documentation services of the USDA Development Project Management Center funded by TA/DA are also relevant. Regional LDC development administration documentation centers such as that of the African Center for Research and Training in Administration for Development can be fed useful materials. Several internal A.I.D. collections and facilities will also support the utilization effort.

The plan calls for "targeting" of materials for identified end-users including USAID-assisted institutions.

Briefings, seminars, and conferences will be expanded under the plan. For example, TA/DA is planning two Washington seminars on commodity systems by Harvard University during the first quarter of calendar 1977 as well as an Inter-American project management training workshop in collaboration with the Inter-American School of Public Administration.

### C. Operational Constraints

There appears to be a significant imbalance between the requirements of Agency management assistance policy and strategy and existing operational capacity to carry out the needed actions. The Bureaus and Missions have encountered heavy workloads and substantial challenges in meeting programming deadlines and incorporating new requirements such as social soundness analysis and PBAR installation. There is a natural anxiety about the general capacity to take on another substantial programming challenge as well as the specific technical capacity to handle it well. The following interrelated items are cited as significant constraints:

1. Lack of adequate guidance and methodology to answer such queries as "What is management capacity?" and "How do I appraise and develop it?"

2. Inadequate direct-hire staffing and timely availability of qualified contractors and consultants. (Two officers were recommended for each Regional Bureau. Each now has one slot; two are filled, two under active recruitment. The manpower budgeting process allocated seven officers for TA/DA in FY 1977 in lieu of eight requested. Five are filled, with one loss and one key gain -- the Director -- projected in January; two positions are under active recruitment. Systematic identification and use of external resources is proceeding slowly.)

3. Inability to handle procedural and "paperwork" load in the face of competing demands and difficult deadlines.

4. Auxiliary skills needs for people who are not educated or trained in development administration or closely related disciplines.

5. Need for quality control in management assistance efforts, e.g., more use of consultants, professional design or review panels, and monitoring and evaluation efforts.

6. Imbalance between resource allocation to project design and project implementation.

7. Insufficient support to the field for project design, implementation and evaluation. (While some respondents argue that additional contract resources could be mobilized, others point out that their use in certain roles is inappropriate and cite a shortage of qualified direct-hire people to identify problems, write scopes of work, and provide technical supervision for the contractors. On balance it is clear that considerable expansion in use of contractors in appropriate roles is essential and that direct-hire people with development administration qualifications will have to be much more resource managers than resources themselves.)

Efforts to correct these deficiencies are underway with varying degrees of success. Additional measures and actions are required.

#### D. Recommendations for Immediate Action

##### 1. Improve Resource Mobilization for Project Assistance

Add two or more contractors to the IQC list to provide assistance in management factors in assessment, project design, project implementation, and evaluation, in a number of management specialties. A quick survey is needed to estimate explicit needs.

2. Improved Staffing

a. Press to fill Regional Bureau and TAB vacancies with well-qualified people. Request outside recruitment authority if needed.

b. Designate a responsible management assistance officer in the Regional Bureaus' sectoral offices, as proposed by the Latin America Bureau.

3. Improve Agency-wide Technical Coordination

Build stronger working relations among development administration officers and sectoral groups to identify and serve key operational and information needs, assess Agency-wide progress, and buttress field support efforts.

4. Policy and Program Guidance

Issue the Policy Determination and Agency guidance on appraising recipient's project management capacity.

5. Inventory/Directory

Compile an inventory/directory of Agency projects with a significant management improvement dimension.

E. Follow-on Action Requiring Additional Analysis

Actions taken to implement the Action Plan have initiated an excellent base of information about the Agency's management assistance efforts. But more time is required to complete the summary analyses, review Agency programs in more depth, and plan follow-on action. These steps are needed:

1. Continue Project Analyses

a. Prepare a summary of the individual project analyses of each Bureau and conduct reviews. Schedule additional analyses or on-site field evaluations as appropriate for specific projects. Widely disseminate key findings, approaches and methodology.

b. Contract for specific descriptions of promising approaches by sector, region, or country where a cluster of "model" projects occur. These studies will provide specific lessons of experience on management components of sectoral projects and programs tempered by the realities of LDC conditions.

2. Continue Analysis of Agency Technical Staff Capacity

Review Mission assessments of their technical capacity in management and their concrete reactions and recommendations. Formulate recommendations to substantially increase Agency technical capacity to cope with needs for increased management improvement assistance.

3. Improve Professional Resource Mobilization and Quality Control

Mobilize top quality analytic and evaluation talent. Some Agency efforts in sectoral management are near the "state of the art" of applied management. They deserve and can attract the attention of top quality professionals who can also bring fresh ideas to the A.I.D. enterprise.

Devise new mechanisms for mobilization and use of external talent. Experience shows the need for new means to assure continuity and quality control in project identification, design, activation, and implementation. The most creative use of consultants, RSSA and contract teams and combinations of these should be reviewed to synthesize effective modes of talent-mobilization. Similarly, more "market analysis" of LDC needs served by USAID projects is needed as a guide to pragmatic resource mobilization.

4. Expand the R&D Utilization and Professional Exchange Effort

Review the R&D Utilization Plan prepared by TA/DA to incorporate additional ideas, assure relevance to field needs, and secure broad commitment to the effort.

5. Assess the Relevance and Utility of Management Training Efforts

Evaluations and management reviews of A.I.D. staff development, participant, and LDC management education and training programs could reveal more relevant and cost-effective ways to impart management skills.

6. Prepare a Phase II Action Plan

Once the remaining details of the Phase I plan are wrapped up and a report presented to the Advisory Panel and the SOG, promptly issue a Phase II Action Plan. The gathering momentum of the Agency's efforts is encouraging, but could quickly fade without continuing attention.

Attachment:

Tab 1: List of Reference Documents

TA/DA 12/20/76

Progress Report on Action Plan  
to Improve Management Impact  
of A.I.D. Programs

Reference Documents

1. Background Papers

- a. Memorandum for AAs from the Deputy Administrator, "Action Plan to Improve Management Impact in A.I.D. Programs." 8/20/76
- b. Memorandum, William J. Sheppard to Curtis Farrar, AA/TA, "Report of a consultancy to help implement the recommendations of the A.I.D. Work Group on Management Improvement and Development Administration," August 23, 1976
- c. Memorandum, Kornher to A.I.D./W Offices, "Coverage of Management Factors in A.I.D. Projects," 8/31/76
- d. Memoranda on the Sheppard Report: Kornher to Farrar, 9/22/76; Farrar to Deputy Administrator, 9/30/76; Deputy Administrator to Farrar, 11/12/76
- e. Memoranda on the Steering Group on Management Impact in A.I.D. Sectoral Programs (MIASP): Kornher to Farrar, 11/16/76; Farrar to Deputy Administrator, 11/17/76
- f. Memoranda of Conversation on the MIASP Steering Group Meetings of 11/19/76 and 12/6/76
- g. AIDTO Circular A-606, "Action Plan to Improve Management Impact in A.I.D. Programs," 11/18/76

2. Policy and Program Guidance

- a. Draft Policy Determination, Development Administration, 12/10/76
- b. Proposed Statement of Expanded Managerial Consideration for Project Assistance Handbook #3, and Guidelines for Appraisal of Recipient's Project Management Capacity (Kornher to Hogan, "Expansion of Managerial Consideration in Project Assistance," 12/7/76

- c. Guidelines for Institutional and Management Analysis in Sector Assessments for Country Assistance Programs, Koteen/Rizzo, 6/29/76

3. Pilot Analyses of Management Dimension in Project Assistance

- a. Memorandum, Kornher to Bureau Action Officers, "Project Analysis Required by Agency Action Plan to Improve Management Impact in A.I.D. Programs," 10/18/76
- b. Project Analysis Summaries, December 1976
  - 1) Integrated Agricultural Development - Haiti
  - 2) Rural Health Delivery - Egypt
  - 3) Local Development - Philippines
  - 4) Analysis Methodologies for Education and Human Resources -- on research and development - TA/EHR
  - 5) Family Planning Program -- Mohammediyah Social Welfare Society - Indonesia
  - 6) Managed Delivery of Agricultural Inputs and Services -- related to Agricultural Management Development - Ghana
- c. Report of Review of Selected Projects, Summer 1976, by W. J. Sheppard, Consultant, November 1976

4. Memoranda and Reports

- PPC/PDA, Silverstone to Michalopoulos, 7/18/76
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- LA/DR, Weinberg to Kornher, 11/15/76
- ASIA/TR, Clark to Lefes, 12/1/76
- SER/IT, Byrne to Crain, 12/8/76
- SER/PM/MD, Creedon to Kornher, 12/9/76
- PHA/PVC, Report, 12/15/76
- American Technical Assistance Corp. to Kornher, 12/20/76
- TA/DA, Utilization Plan, 12/20/76

NE/TECH, Dalton to Kornher, 12/22/76

AFR/DR, Gayoso to Kornher, 12/23/76

Reports of MUCIA/PASITAM 211(d) Grant (various)

Reports of TAB/USDA Development Project Management Center (various)

5. Other Documents and Outputs

Memorandum, Kornher to Shields, "Informing the Field of TAB Program,"  
11/24/76

USAID Responses to AIDTO CIRCULAR A-606

AIDTO CIRCULAR A- , "Outputs of MUCIA/PASITAM 211(d) Grant,"  
12/ /76

Selected PRP and PPs

AIDTO CIRCULAR A- , "Interregional Research and Development  
Program," 12/ /76

Supplement, Directory of Resources for Project Management Assistance, TA/DA