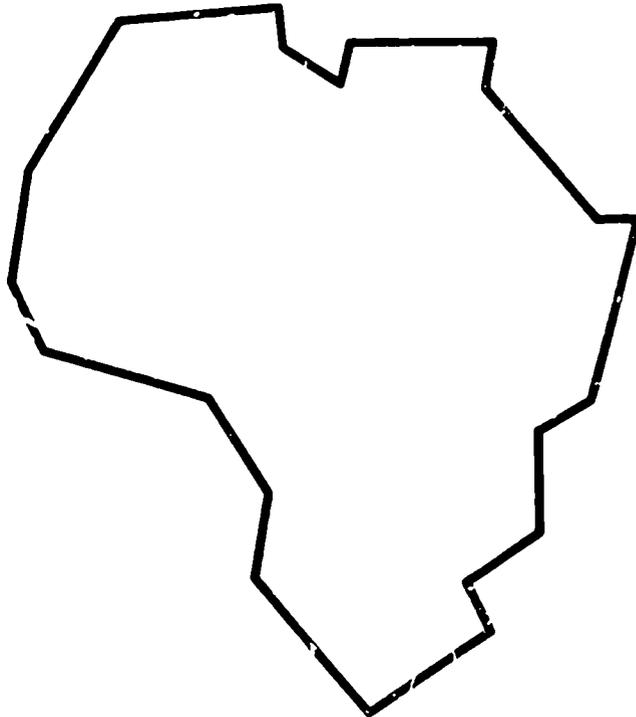


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## **Project Design in East and Southern Africa**



**Africa Bureau  
Agency for International Development**

**AID PROJECT DESIGN  
IN  
EAST AND SOUTHERN AFRICA**

**Report of the REDSO/EA  
Project Design Workshop  
held November 6 to 9, 1978  
at the New Stanley Hotel,  
Nairobi.**

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## Preface

This report summarizes the REDSO/EA Project Design Workshop held November 6-9 in the New Stanley Hotel, Nairobi. It was the second of two such workshops. The first took place in Abidjan for the REDSO/WA area of coverage from October 30 to November 3.

It is anticipated that this report will serve as a working document in the field and AID/W over the months to come. As conference participants encounter questions or problems in areas addressed in the workshop, this report can be utilized as a reference. Although all answers will certainly not be provided, the document will serve as a point of departure in the search of a resolution.

### I. Introduction

#### A. Background and Purpose of the Workshop

For some time rapidly expanding current and projected country and regional programs in Africa have placed inordinate demands on the Field in the project design area. Due in large part to time pressure and inadequate field staffs, the quality of both the PID and PP submissions have suffered accordingly. During the AID/W review process, inadequacies have been highlighted, and requests for further information, analysis or redesign have made an already extraordinarily difficult job even more demanding. It has

become increasingly clear, therefore, that major steps need to be taken to achieve the following goals:

- a. Improve the quality of project design in the regions.
- b. Improve the efficiency of the design/review/approval process.

In attempting to come to grips with the problem, a number of measures have (and still are being) contemplated, i.e., assigning permanent project officers (similar to a Capital Development, Loan or Design Officer but includes loans and grants and technical and capital projects) to a number of field missions, consolidating delegations of authority, streamlining of the PID review process, simplifying environmental procedures, etc. The two project design workshops were intended as an additional means of developing a greater concensus between AID/W and Missions with respect to project design strategy, methodology, and requirements which would directly contribute to the above goals.

The seminar portion of the two workshops was conceived in the early summer, 1978, in anticipation of the regular semi-annual design scheduling sessions to be held at the start of FY 1979 in October. In addition to querying the Field concerning interest and items of priority to be addressed, a consultant was hired to prepare a comprehensive agenda and workshop material, a case study, topic papers, etc.

Over the summer and early fall of 1978, the Workshops took shape and negotiations proceeded on timing, format and content. The final workshop agenda emanated from an extensive dialog by cable, by phone and in person between the field missions and AID/W. Thus, the REDSC/EA sessions did reflect a consensus on priorities.

B. Product of Workshops

It is hoped that the Workshops will have resulted in the following three outputs:

i. A series of Africa Bureau guidance papers to serve as key points of reference for both Mission and Bureau personnel.

Papers will incorporate feedback gathered in the Workshops from Missions and the two REDSOs. They will also have the concurrence of the Assistant Administrator for Africa and, to the extent possible, will represent a generally agreed approach to design requirements and options in the region.

2. Much improved communication in the coming months concerning individual Mission design scenarios and problems. The

Workshops served to provide a conceptual and practical backdrop for communications which will allow for less misinterpretation and improved efficiency. (Discussions and papers, for example, can be referenced.)

3. Improved FY 1979/80 design schedules. The business of determining requirements and establishing schedules for project design in the regions has been facilitated by workshop discussions of recurring issues and problems.

C. Scope

1. Focus: The Workshops focused primarily on project design. To do justice to the magnitude and complexity of recurring design issues, workshop management made a conscious effort not to allow lengthy tangents into such areas as program development, implementation, and other areas of concern to Missions--notwithstanding their priority and importance.

2. Coverage: Topics to be covered were developed on the basis of the experience of the Bureau in the Project Review process over the past two years. Most of the items selected represented recurring problem areas. Other topics were scheduled on the basis of the importance of current policy initiatives, i.e., Title III, Delegations of Authority, Title XII. Finally, and most important, the Bureau carefully reviewed field comments and concerns; and REDSO/EA itself, through negotiation, assured that field priorities would receive top billing on the agenda.

## II. Summary and Conclusions

A. General: It was found difficult to develop a meaningful summary of the Workshops without getting into the substance of individual sessions. This, in turn, would have led to a summary almost as long as the report itself and would have contributed little. It was decided, therefore, to record the most salient highlights and to note pending or follow-up actions where indicated.

### B. Highlights:

1. The AID/W Message: Do More With Less. If there was a recurring theme in AID/W presentations, it ran something like this: Project design should be more complete and of higher quality; adequate planning--both for design and implementation--was stressed again and again. Field posts were told they should take more time, bring key specialists in earlier, take greater advantage of existing resources, edit and package more carefully, pay more attention to policy and legal criteria, be more accurate, be more practical, be more honest, etc.--all this in relation to rapidly expanding country programs. There were logical and valid reasons for all these exhortations to excellence. The principle problem with the thrust of this theme was that the Field also was told that AID staff and other resources were not likely to grow and might even be cut back.

As expected, small post representatives reacted strongly to the theme of improved quality of PP's with small staffs.

After the workshop they drafted a special appeal, sent to AID/W as a cable, in which they discussed their needs and recommended special and priority treatment by both AID/W and REDSO. "A different posture" was suggested for AID/W reviewers where adequate field reviews were not possible due to lack of staff.

There was no pat answer forthcoming from AID/W or REDSO to the above. A number of valuable suggestions were made to improve efficiency and coordination of the process. In addition, it was pointed out that steps are being taken in Washington to streamline procedures, (the AID review process, IEE procedures, etc). Guidelines are being revised and simplified to the extent possible, and a major increase in delegated project approval authority is in the offing. The message still, however, was to do better with less.

Despite the lack of a major solution to the problem of staff, three areas stood out as partial but meaningful answers.

Better Communication: A significant number of the problems identified in the workshop can be averted or ameliorated with more open, candid, and substantive dialogue between AID/W and field missions. Improved cable and telephone traffic will help to some extent. (Paul Guedet and the Southern Africa project division were highly praised during the workshop for effective and extremely

helpful efforts in solving problems informally by cable and phone before they became "etched in stone" by project committees and official memoranda.) Beyond this, however, there is a real need for more travel in both directions. Washington project officers, who know first hand their country programs, can be twice as effective in handling field concerns as those who know the program and constraints only on paper. Likewise, field officers who have seen first hand or, better, have lived through the Washington review and approval process, can be much more effective in addressing Washington concerns in field submissions. Above all, communication is vastly improved between staffers who have some meaningful common ground and experience to draw from.

Planning: At the risk of "beating a dead horse" planning for project design stood out as one of the key areas requiring improvement. (See guidance paper on design planning.) Within this area, improved planning, coordination, and utilization of local resources (government, universities, consultants, and firms) would go a long way toward solving the problem of the "thirty-day wonder" design team.

In a related vein, **another obvious and simple** factor stood out -- **project officers need more time.** **To some extent,** time can be made with more **adequate planning.** **In addition,** however, project officers need to **be provided with more time** to wrap up the

job properly, time to edit and package, time for a meaningful Mission review, etc. (The same argument can be made for a number of technicians.) The logical conclusion of the argument, of course, is fewer, but longer, trips for REDSC staff members and a need for more carefully planned design contracts with key persons staying longer.

#### The Funding Situation and a Shift in Emphasis:

Due in large part to the practice of incremental project funding, the design problem may be partially resolved as a result of the limited availability of funds for new projects, due of course, to the increased portion of each year's total allotment absorbed by recurring obligations. In addition, a much greater focus on evaluation and implementation can be expected. Finally, as Missions become responsible for approving a much greater percentage of their own projects, (proposed delegation of authority for project approval), a much stronger emphasis is expected on implementation, as Assistant Administrators and Missions will be "on the line" to a greater extent in terms of responsibility for sound development efforts.

2. The PID: Early in the workshop, a consensus was reached that the PID guidelines, preparation, and review process required much greater attention in both Washington and the field. There was general agreement that the PID will have to be a more substantive document in the future, that the PID review process will

have to be upgraded in terms of professional quality, (AFR/DR is pressing on this issue; see Section III B. 1 below), and that new guidance is needed.

3. CDSS: A number of the small posts of East and Southern Africa professed an inadequate capacity to deal properly with CDSS preparation requirements. They need help. Also, some sort of special category is necessary for very small posts with large projected programs (over \$50 million in five years). (See Section III B. 2).

4. Economic Analysis: There was general agreement on the need for a revision of Handbook 3 guidelines on economic analysis. Frequently, valid cost/benefit analyses and even cost effectiveness exercises are either impossible or are inappropriate under circumstances normally encountered in the African setting. The principal value of the economic input to project design, it was agreed, related to asking the right questions early in design and forcing consideration of important economic factors when key decisions are made concerning the basic structure of the project.

5. OYB Allotments: **It is now possible** for Washington to make allotments to the Field **based on approved** OYB levels. This should allow for much **greater flexibility in budgeting** and programming within annual country totals.

6. Institutional Capacity Issues: In general, a lack of expertise, methodology and capacity was found in this area. There is a need for both REDSO and AID/W to provide assistance in the analysis of institutional constraints and the design of remedies.

7. Section 611a: Incremental obligations appeared to be the answer to much of what Missions want to do in the area of "process" or "rolling design" type projects. (See Section III C. 6 on 611a.)

8. Title XII: Title XII was agreed to be an invaluable design alternative under appropriate circumstances. It is important to insure applicability of the project type and establish effective and firm ground rules for the cooperating institutions, the host government and AID.

C. Pending or Follow-up Action:

1. New PID Guidance: Revised PID processing and review procedures are being circulated in Washington. Also, further clarification is called for on exactly what is expected in the PID.

2. CDSS: AID/W will investigate means of assisting small posts with large projected programs (over \$50 million in five years) with respect to the magnitude of the analytical burden.

3. Small Posts: As a result of the workshop, small posts representatives drafted a cable presentation for AID/W, spelling out special needs and recommendations for treating them.

4. Social Soundness: Social Soundness guidelines are being revised in Washington under the direction of Dr. Alan Hoben, Chief of the Studies Division, PPC. Comments and suggestions are welcome and should be sent to Dr. Hoben.

5. Institutional Capacity: REDSO/EA will explore ways and means of providing additional assistance to USAIDs on institutional capacity issues.

6. Section 611b: REDSO/EA's Regional Legal Advisor will seek additional clarification from AID/W General Counsel on the application of federal principals and standards with respect to water projects--especially those with a large number of small sub-projects (fish ponds, wells).

7. Environmental Issues:

a. Pesticides: REDSO/EA will seek clarification and additional guidance from AID/W General Counsel and Development Support Bureau on project design treatment of the pesticide issue and on the matter of the constantly changing registered list of approved pesticides.

b. Irrigation: AID/W (William Johnson, Chief, AFR/DR/ARD) promised to seek improved guidance on how to deal with the environmental issues (primarily health) associated with irrigation projects.

8. Contractor Evaluation: Clear instructions are needed from AID/W regarding installation of a practical and legal system for performance evaluation of design contractors and dissemination of findings. In the meantime, REDSO/EA is considering instituting its own system internal to the region.

9. Housing: REDSO/EA is prepared to carry out a study of the region-wide housing shortage problem on which to base a regional project proposal. However, SER/MO has already embarked on such a study, which will be reviewed prior to launching a separate initiative.

10. Title III: Clarifying guidance on Title III is in preparation in Washington.

11. PVOs: New guidelines on Bureau policy and procedures are being prepared under the direction of the new Bureau Coordinator, Monty James. AFR/DR will push for expeditious issuance of an effective and practical set of instructions, especially

relative to large PVO projects which have taken up an inordinate amount of professional and executive level time over the past year.

12. Redelegation of Authority: The REDSO/EA Regional Legal Advisor will seek clarification and guidance on the question of redelegation of authority by acting directors and principal officers of posts. Some are acting presently under such a redelegation and are unable to redelegate their authority when they depart post.

D. The Body of the Report

The following is a detailed, session by session, description of the seminar portion of the workshop. In each case the initial presentation has been summarized, and key points from ensuing discussions have been highlighted.

As was the workshop, the report is broken down in the following phases:

- |                   |  |
|-------------------|--|
| <u>Phase I:</u>   | Program Strategy Definition and Project Identification   |
| <u>Phase II:</u>  | The Project Paper  |
| <u>Phase III:</u> | New Policies Affecting Project Design and Implementation |
| <u>Phase IV:</u>  | The Washington Review Process                            |
| <u>Phase V:</u>   | Implementation   |

Design Scheduling sessions are not included in this report.

## NAIROBI

### III. Workshop Sessions

#### A. Introduction to Workshop

1. Introductory Remarks: Welcoming and introductory remarks were made by John P. Blane, Charge', U.S. Embassy, Nairobi; Louis Cohen, Director, REDSO/EA; and Glenwood P. Roane, Director, USAID/Kenya. All expressed the need for the workshop given the current pace and projected expansion of East and Southern Africa Programs. All expressed hope for constructive output from the forthcoming Washington/Field dialogue on key issues.

2. Conceptual Framework of the Conference: As in the West Africa Workshop, Mr. John Koehring began with an explanation of the evolving role, structure and functions of the Office of Development Resources (AFR/DR). He stressed the role of the office as a service organization to meet field needs and described AFR/DR's efforts to improve its own as well as Bureau-wide efficiency in handling project related matters at all stages--especially the PID. (See PID Section below.) Additionally, Mr. Koehring noted a "changing pattern" with AFR/DR and REDSO/EA assuming a "greater role" in project development while the geographic offices (Desks) would focus to an even greater extent on macro and

program level operations. He did emphasize, however, that fundamental responsibility for project development and implementation should continue to be with the individual field mission.

Mr. Koehring then described the Washington view of the conceptual framework of the workshop (see introduction), prior to moving on to a number of specific points.

--The George Wing exercise and pending delegations of authority for project approval. (As of the end of the workshop no new delegations had been approved. It was suspected that approval authority would probably come to somewhere in the \$2-3.5 million range.)

--Budget vs. Staff. There is a move to double project-related funding for the Africa Program, but the outcome is uncertain. On the personnel side, however, no new staff will be possible due to a general government-wide cutback. (How this will impact on AID remains to be seen.) Mr. Koehring commented on the workload now facing both the Bureau and the Field (97 obligation actions in FY '78--almost twice as many as any other geographic region) and the continuing need to streamline procedures and improve efficiency of operations.

--Foundation for International Technical Cooperation (FITC). The Foundation is to be in the Congressional Presentation for 1980. A

considerable portion of the Development Support Bureau's portfolio may be consumed. The new organization might draw its staff, in part, from DSB and regional technical offices.

--Integrated Personnel System. A report establishing the proposed system is due to be submitted to Congress by March 15. It will be published in the Federal Register and will become law in 90 days unless held up by Congressional action.

--The PID Approval Process. A draft memorandum is circulating in Washington which seeks to "tighten" the review process. As proposed, copies of each PID will be sent concurrently to AFR/DP and AFR/DR. DP in turn, will record the PID and send copies to the geographic office for review. As envisaged, official review and cable response to the Field will be required within a 20-day period. If a PID is not approved, the Field would be so notified with reasons. It is also proposed that all PID reviews be chaired by a geographic office director. AA/AFR is to hold bi-weekly status reviews of submitted FIDs.

--Regulation 16. A recommendation to delegate authority to make threshold decisions based on Initial Environmental Examinations on a variety of project types has been cleared by the Assistant Administrator for Africa. This, and other changes, is the subject of an Agency Circular Airgram (now in draft) to all Missions giving instructions on revised procedures.

--Consolidated Delegation of Authority. The recently issued consolidated delegation of authority to the REDSOs, Field Missions and other posts was pointed out for discussion later in the week.

--Women-in-Development (WID). Mr. Koenring stressed the Assistant Administrator's view that AID should take women, as well as other people, into account in projects rather than attempting to design a number of special projects dealing exclusively with women. The Assistant Administrator is "very interested" in a sound WID policy and solicits comments from the Field.

--Evaluation of Contractors. Mr. Koehring highlighted the need for a viable and legal system for evaluation of contract design technicians. A proposed system utilizing standard AID forms, which would be managed by the AFR/DR contract support division, was circulated for comment. Apparently, the same consultants of marginal performance keep showing up on one design job after another with depressing regularity, i.e., Dakar in April, Kigali in May, etc.

--Host Country Contracting. It was emphasized that it is AID policy to utilize host country contracts whenever feasible. A specific justification is required for all direct AID implementation contracts.

--Waivers. Mr. Koehring stressed the difficulties incremental with waivers. Waiver justifications must be fewer and more technically

thorough and compelling so as not to jeopardize our ability to obtain waivers for the several regions of Africa where there is no practical alternative.

B. Phase One: Program Strategy Definition and Project Identification

Moderator: John W. Koehring, Director, AFR/DR.

1. The PID

Presentation: William Johnson, Chief, AFR/DR/ARD.

Bill Johnson made a brief presentation highlighting the following points.

(a) Handbook 3 guidance on the PID is basically adequate, if taken seriously. "We do not want PRPs in disguise."

(b) The PID should be both complete and thorough and must be technically valid. Thus, although technical analyses are rarely necessary, appropriate technicians should contribute to and review the development of PIDs.

(c) The PID should demonstrate what is to be done and how objectives are to be accomplished. A basic logical framework approach was suggested.

(d) "Straw men" should not be used. If there are no alternatives, this should be candidly stated.

(e) Other donor activity must be described.

(f) Issues should be noted, especially where management decisions are required.

(g) Scopes of work for full project design should be included or attached to the PID, especially where inputs from outside the Agency are required.

Discussion: A number of comments from the floor expressed the notion that the PID, of necessity, will have to be a much more substantial document in the future, especially when the proposed delegation of authority for field project approval is implemented. On the other hand, one design specialist suggested that an alternative to the PRP be introduced. In another case, selected interim or additional reports were suggested to cover specific issues. It was generally felt that the project development and approval process had not, in fact, been streamlined, due to added project description requirements associated with Annual Budget Submissions and Congressional Presentations from the Field.

Washington representatives mentioned the following additional points during the discussion:

--AID/W is contemplating the required submission of a one page project description prior to submission of the PID which could be referenced in response to congressional and other inquiries. A rank-ordered listing by Missions of proposed projects is also suggested. (It was observed from the floor that AID/W should have what it needs in the form of the project descriptions included in the Annual Budget Submissions.)

--AFR/DR hopes to contribute to making the PID approval process more meaningful than in the past.

--During PID development the host government should be consulted. PIDs should only be submitted when they have, at a minimum, tentative support from appropriate host government entities.

--In cases where utilization of a Title XII implementing institution is inadvisable, the PID should so state with reasons.

There was some discussion concerning the need for the use of Project Development and Support (PD&S) money for PID development, given concern from the Field that PIDs would now require more substantial design and technical inputs. AID/W answered that PD&S money could be allocated on a case by case basis depending on the need and priority of a particular project. As a general rule however, PD&S money should be utilized, as a first priority, for current year project design.

Pending or Follow-up Actions and Recommendations: No specific actions or recommendations were made beyond the general felt need for more comprehensive guidance on PID development. Revised PID processing and review procedures are being circulated in Washington and recommendations from the REDSO/WA workshop in Abidjan may result in further clarification and guidance from Washington.

2. Correlation of PIDs to Country Development

Strategy Statements (CDSS)

Presentations: James Holtaway, Program Officer,  
USAID/Sudan

Richard Archi, Program Officer,  
USAID/Kenya

(a) Jim Holtaway began the discussion with the notion that Washington guidance was generally adequate, but that the CDSS must be sufficiently flexible to take into account overriding political and economic factors as they relate to "Mandate" concerns. (The need for basic infrastructure in the Sudan, for example.)

(b) Richard Archi, on the other hand, expressed the concern that current CDSS requirements are impossible to meet, especially by small Missions. The staff and the data are frequently unavailable. Therefore, he pointed out, Washington and REDSO should respond with substantive assistance in CDSS formulation at the Mission level.

Mr. Archi went on to characterize the various levels of analyses in the program development process. He stressed two types of projects. These which are action oriented--requiring a relatively concrete and intervention-specific type of analysis; and those projects which establish an analytical basis for going forward with a more ambitious effort in a later period--calling for a more impressionistic form of analysis. The CDSS he characterized as still more impressionistic.

Finally, Mr. Archi labeled AID's analytical capability as "good" in rural development, "fair" for the health area, and "poor" relative to human resources development.

Discussion: In treating the matter of flexibility in the CDSS, John Koehring and Alan Hoben responded that a degree of flexibility was in fact allowed. Alan Hoben pointed out, for example, that CDSS guidelines require that political factors be taken into account. He went on to state that AID had long since recognized the need for basic infrastructure prior to effective impact projects, especially in rural areas (rural roads, for example). This assertion was received with skepticism due to past problems associated with attempts to push road projects through the Bureau. John Koehring pointed out that the Africa Bureau is seized with this concern and is seriously considering a more liberal policy on infrastructure. (The Bureau will "proceed cautiously".)

With regard to the demanding requirements for CDSS presentations, Mr. Koehring indicated that additional measures were indeed necessary to assist very small posts with large projected programs. Despite the general policy that the CDSS should be an internally generated document, REDSOs will be encouraged to assist small posts with CDSS preparation and the use of outside consultants will also be permissible. Mr. Koehring also pointed out that, for those programs projected at less than \$50 million over the stipulated five year period, only a "small post statement" is

required which is considerably less demanding. Alan Hoben pointed out that "even rough estimates were better than nothing", and that much useful insight could be drawn from even very shaky data.

Regarding the relationship of PIDs to the CDSS, Washington representatives stressed that, although there obviously should be a solid basis for programs and project areas established in the CDSS, no PID, under current guidelines, will be rejected solely for lack of correlation with the strategy statement. If a PID is not in line with the CDSS, however, the document should candidly point this out and go on to justify the project on other grounds.

Pending of Follow-up Action: AID/W will investigate means of assisting small posts with large programs in CDSS preparation.

3. Sector Planning:

Presentation: Helen Soos, Economist and Evaluation Officer for REDSO/EA. (Material was presented for Brandon Robinson, REDSO/EA, Chief HRD, who, unfortunately, was in the hospital during the workshop.)

Ms. Soos made a case for the value of sector analysis in arriving at insights into relationships which would normally not be possible through other more limited analytical approaches found at the project level. She stressed the process of analysis,

including policy and strategy formulation and planning, typified by the sector approach and the fact that all phases had to be realized for effective results.

In addition, Ms. Soos made the following points:

--Successful sector and sub-sector analyses must be carried out in a collaborative style with the host government.

--Sector strategies should not be too complicated. They must be commonly understood.

--Sector analyses should take advantage of existing data.

--Objectives of sector analysis should be clear throughout the process.

--Title XII would be an appropriate assistance vehicle for most sector analyses.

Discussion: A brief discussion centered on the need and value of having host countries carry out their own sector analyses with outside assistance (the collaborative element). Concern was also expressed over the sometimes prohibitive time and financial outlays required by sector level efforts.

4. Special Project Design Problems of Small Posts

Presentation: Louis Cohen, Director, REDSO/EA,  
for Seychelles and Mauritius

John Patterson, AAO, for Rwanda

Carl Mahler, AAO, for Djibouti

Ted Morse, RDO, for Swaziland

The central thrust of the presentations was that small posts should be treated differently, (new system, new procedures) and that there should be a "different posture" in Washington. Points emphasized repeatedly were:

--Washington deals with all posts the same way. There is a need for "differentiation". Small posts should receive a higher priority in the assignment of supporting resources.

--Small post personnel are "all things to all people". They can't "get ahead of the power curve".

--Small posts don't have technical staffs to draw upon. Technical divisions in Washington must understand this.

--Small posts are heavily dependent on their respective embassies for support. Much time is spent briefing Ambassadors. Sometimes relations are strained.

--The "three tiered" project development system is onerous for small posts.<sup>1/</sup>

--Frequently design teams sent to small posts have had poor leadership and otherwise been unqualified. Small post personnel frequently do not have the time to devote to supervision.

Discussion: During discussion various suggestions were made from the floor. Most had to do with taking greater advantage of local resources, i.e., universities, local consultants, local staff, third country nationals, etc. Washington promised to help where possible, but stressed the need for better communication and longer lead times for response to requests for design assistance.

Small post representatives agreed to meet as a working group during the conference to draft a statement offering recommendations for handling their special design problems. (Their report was cabled to Washington upon the close of the workshop.)

C. Phase Two: The Project Paper

1. Planning for Project Design:

(a) Design Planning Issues Requiring Treatment

Presentation: Paul Guedet, Chief, AFR/DR/SA

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<sup>1/</sup> This was noted especially in the case of Rwanda which is projected to have a \$32 million portfolio by FY 1985.

Paul Guedet led off with a brief summary of what he saw as major problem areas associated with design planning. Chief among these is a general failure to emphasize project design as a management process requiring a significant planning effort. Mr. Guedet pointed out the self-defeating loss of faith in both projects and the system brought about by poorly planned and often "fragmented" design efforts. He called on the Field to suggest ways to improve the design process. Other major points emphasized were the importance of Washington-Field communication and the need to avoid confusing data and information collection with the genuine design and structuring of projects.

Panel: Larry Hausman, Chief, Design Section, REDSO/EA  
William Johnson, Chief, AFR/DR/ARD

The panel made brief statements elaborating on the following two points:

--The design team concept has some significant problems associated with it and it would be more sensible to stagger design and technical inputs in a logical, analytical progression in accordance with the constraints and other needs of a given project.

--Good project design embodies the notion of the "art of the possible". We must attempt to stop making "heroic assumptions" and concentrate on feasible and practical alternatives.

Discussion: Beyond the above points,  
discussion centered on the following items:

--Quality design depends on time--enough time to do the job adequately,  
enough time to find the right consultants, etc. Sometimes a full  
annual cycle is required. Planning must take this sufficiently into  
account.

--Better design team briefings are essential in Washington. Design  
teams should not be allowed to hit foreign soil not knowing ground-  
rules or what's going on, as has often happened. Also, time should  
be programmed for basic reading about countries and projects  
before departure.

--PID approval cables are sometimes held up endlessly in Washington.  
For sound and timely planning exercises, a much more efficient  
system is required.

--Better quality consultants are essential for improved design.  
AID/W should make a more consistent effort to review qualifications  
and experience of technicians sent to the Field.

--A greater effort at post is important to assure an effective  
collaborative arrangement between design teams and host government

personnel. Botswana was singled out as having a particularly effective collaborative system developed where design teams are immediately and effectively taken under the government's wing.

(b) Role of the Project Officer, Organization and Management of the Process, Form and Substance of the PP

Presentation: John Heard, Design Consultant

Carl Penndorf, Program Economist, USAID/Kenya

Larry Hausman, Chief, Design Section, REDSO/EA

(1) John Heard drew primarily from two papers he had written on the subject:

(i) Role of the Project Officer. The following points were emphasized:

--The USAID has both the authority and responsibility for project design in the Field. Project officers and teams must respond first to USAID management.

--The project officer should be the undisputed manager of design teams, and, where possible, the entire design process from PID through PP. Design teams should be so briefed.

--The project officer must have time to do his job properly, before, during and after other technical inputs.

--The project officer must understand technical and other issues. He should participate in technical meetings and spend time in the field with the design team.

--The project officer must manage and organize the design team on a day to day basis. He must constantly be on top of the job.

--It is essential that project officers accompany PP submissions to Washington in order to resolve issues as they emerge during review and otherwise assist with project processing.

--The effective project officer preferably should embody the following characteristics:

\*sustained capacity for demanding work and long hours

\*financial analytical skills and a general ability to manipulate numbers

\*a talent for writing, especially the ability to summarize and organize--  
clear expression is essential

\*prior experience as a project manager--a solid understanding of the "nitty gritty" of project administration and recurring implementation is invaluable.

(ii) The PP. The presentation emphasized form more than substance and covered the following basic points:

--Above all, the PP should be honest. Issues should be candidly set forth in the opening summary and treated in depth in the body of the document.

--The PP should be carefully organized and structured for ease of review and for maximum utility as a working document.

--The PP should commence with an opening summary which should briefly (no more than three pages) cover recommendations, describe the project, provide basic financial information, reference findings of all analyses, including their relation to legal and statutory criteria, and detail issues and resolutions.

--If a PP is to deal with a complex multi-component or otherwise demanding project requiring long and involved treatment, the only solution seen with respect to guidelines on length is to write the PP as necessary to establish feasibility, justify the project and serve as an effective implementation planning and operating document. The overall document can then be summarized to meet the 35 to 65 page limitations (100 pages overall) for AID/W processing. Two volumes will be necessary in such cases.

--The PP should be well-written and carefully edited for maximum clarity and concise expression. Time for essential rewriting and editing must be allowed after the departure of other design team members (2 to 4 weeks). Additionally, the PP should be carefully packaged and appear neat and professional (typing, spelling, spacing, graphics, etc).

(2) Carl Penndorf commented at length on what he termed "green power", or the value of the final official printed version of the PP as the standard operational source of reference for a complex project; i.e., it should be well done, and it should be complete--notwithstanding AID/W limitations on length. In addition, he emphasized the need for a systems approach and an understanding of the system in which the project is trying to intervene. (Designers often do this unconsciously, he pointed out, but a more conscious effort should be made.)

(3) Larry Hausman spoke in support of an opening summary for the PP. He also stressed that project officers should be involved with project negotiations together with responsible Mission personnel.

Commenting from a REDSO and a personal perspective, Mr. Hausman elaborated on the problem of the TDY project officer regarding time required to do a decent job in the field versus the need to maintain a fulfilling home life. Project design is a draining experience he asserted. One has to "recharge one's batteries". On balance he opted for shorter TDYs (2 to 4 weeks), despite the need for more consistent management of design efforts. In support of this he stressed the importance of more substantive involvement of USAID personnel in design efforts in order to fill gaps more effectively.

In closing, Mr. Hausman supported the need to have project officers participate in the Washington review process, but stressed that neither REDSO nor the Field could afford the three or four week stints normally required.

Discussion: Discussion reinforced most of the foregoing points. The following areas stood out:

--The need for heavier involvement and greater control on the part of USAID staffs in the design effort and project negotiations.

--The need for a legal method of providing compensatory time off for project officers and technical people working long hours and traveling on weekends.

--In connection with the long versus short TDY question, opinions varied. The frustration of leaving an incomplete job behind was mentioned. A system of compensation and relief relative to the family, such as the World Bank point system, was raised as especially appropriate for a REDSO-type situation.

## 2. Social Soundness Issues

Presentations: Ned Greeley, REDSO/EA,  
Anthropologist

Joyce Mortimer, Contract,  
Women-in-Development Specialist

(a) Mr. Greeley began by stating that current social soundness guidelines were generally adequate. His remarks, dealing primarily

on the role of the social scientist during design, including the following principal points:

--The social soundness input to project design should begin with pre-departure preparation time of approximately one week which should be structured into the contract. A wealth of micro studies and other relevant material is available in most university libraries.

--The social analyst should arrive early in the design process and remain through the design structure phase. Data collection takes time, and the social scientist should have the opportunity to actually effect design--not justify it.

--The social analyst must be thoroughly briefed and carefully supervised. He must dwell on issues directly associated with the project. AID's project requirements must be stressed and an issues paper should be drafted mid-way through the project design.

--Beware of the social scientist who wants to go out and do a quick survey. The chances are that findings will be seriously distorted by the lack of a valid sampling and an adequate questionnaire. Normally much more valid data is already available if one but seeks it--both in raw and processed form. "Single shot" surveys normally don't tell one very much.

--It is especially important for the social scientist to analyze earlier development efforts directed toward the target population--e.g., missionary projects. The success (or failure) of such efforts can be very relevant and instructive in relation to the task at hand.

--Despite appearances, change is occurring constantly among most populations. Many studies on social innovation have been carried out in many of the populations toward which AID is directing its programs. These should be checked in each case.<sup>1/</sup>

### 3. Economic Issues

Presentation: Carl Penndorf, USAID/Kenya,  
Program Economist

Backup Panel: Anita Mackie, REDSO/EA, Economist  
Helen Soos, REDSO/EA, Economist

Carl Penndorf stated initially that Handbook 3 guidelines for economic analysis are inadequate and, therefore, need not be strictly adhered to. Furthermore, the core of economic analysis literature, in his opinion, is not applicable to the AID situation in the field--particularly at the project level. For example, it is well known that within reasonable limits, a good economist can produce almost any internal rate of return (iRR) desired in most cases and, therefore, can certainly be adjusted to meet bureaucratic criteria, such as the 9% rate recommended in Handbook 3. In sum,

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<sup>1/</sup> Mr. Greeley distributed a paper at the workshop from which he drew for his presentation. "Social Soundness in AID Project Design, A Report from East and Southern Africa", by Edward H. Greeley.

the standard benefit/cost exercise recommended for most projects frequently has little validity. It is infrequently done given the extreme difficulty of sound benefit calculation in most institution and system building projects.

Mr. Penndorf did see more value in the cost effectiveness approach, i.e., the comparison of alternative cost streams. Even this has great limitations, however, as many AID development projects are relatively unique, and there is the danger of inventing "straw men" for the sake of comparison.

Where Mr. Penndorf believes the real payoff of the economic input to the project development process comes is in the area of decision making early in the design scenario. A good economist will ask the right questions. (One has to know the proper questions before looking for answers.) Often, with a "back of an envelope" type of calculation, an economist can steer a design team or a host government away from costly mistakes before they become so locked into a design that it is impossible to backtrack. He mentioned that input to output linkages were particularly appropriate for economic review.

Other key points made by Mr. Penndorf included the following:

--One of the principal tasks of the design economist should be an accurate economic definition and analysis of the beneficiary micro

unit (the farmer, the family, etc.) A good farm budget analysis, for example, is often more meaningful when considering merits of a particular project than an overall cost/benefit analysis.

--There is a fine distinction between economic and financial analysis and the two analyses are often confused. Mr. Penndorf suggested that it might be advisable to merge the two analyses and let the economist handle both. The only real difference relates to "shadow pricing", which in most of AID's development settings, is extremely difficult to do with any real precision.

--Many project papers contain too much "economic analysis". The economic section should contain a brief explanation as to why certain decisions were made rather than an elaborate and often "after the fact and artificial" justification.

Discussion: In light of Mr. Penndorf's remarks about the value of standard economic analysis techniques, a recommendation from the floor was made to eliminate the requirement. The response was that, despite the nature of the analytical game, the economic input to project design is, in fact, important, provided that consultation is early enough in the process, i.e., during critical decision making. Mr. Penndorf also made the point that economic analyses are often very useful for host government institutions which must argue with their own national treasuries and ministries of finance to obtain counterpart funding and commitments.

The other issue that received considerable discussion was recurring costs (a sub-topic of the following session). The general feeling that emerged was that the issue had to be treated at the "macro", or program level, rather than at the individual project level.

#### 4. Financial Issues

Presentations: Grover Robinson, Controller,  
East African Accounting Center (EAAC)

John Heard, Design Consultant

(a) Grover Robinson's presentation concerned the accounting and budgeting cycle utilized by AID. He explained the various stages through which country program and project budgets pass from ABS through actual project disbursements.

Other points emphasized by Mr. Robinson included the following:

--We have a credibility problem with project budgets. Project cost tables should be backed up by detailed estimates and calculations. Line items of \$1 million for equipment, for example, need detailed backup calculations.

--Regarding the flow of resources in a project, those of AID should not be out in front. AID now prefers "reimbursement" rather than "advance" mechanisms. In the case of profit-making organizations, such advances are prohibited.

--AID/W can now allot based on the OYB alone. This should give greater flexibility to the Field with respect to faster funding of urgent requirements, i.e., the overall arrival total can be drawn against rather than a specific project allotment which may be late in coming.

--Financial planning continues through the project development and implementation process and should not stop with project authorizations. Accordingly, constant revision and fine tuning is necessary as project implementation proceeds. Approved project budgets are "illustrative" only. There is great flexibility in the system, and this should be utilized to improve project administration and programming as indicated by events, evaluation, analysis, etc.

Discussion: Most questions dealt with financial/procedural matters of various types. It was mentioned that limited design assistance was available from EAAC. Presently, one financial analyst is available for short TDY contributions. Within a year, after the new computerized accounting system is fully operational, more service will be forthcoming.

In response to a question on the feasibility and utility of output budgeting, Mr. Robinson felt that, while it was often a valuable exercise from a design standpoint, it was not necessary for AID's financial system.

(b)

(i) The Subsidy Issue: John Heard made a brief presentation on the subsidy issue, drawn principally from his paper of the same name circulated at the workshop. The theme of his paper was that subsidies should go for institution and system building rather than directly to project beneficiaries. What the poor need is access to resources rather than a relatively small fraction of the target group.

Reaction from the floor was mixed. Apparently, in many countries of East and Southern Africa, there are overwhelming political imperatives to directly subsidize target groups. Heard's response was that, if this is the case, then one's hands are tied. The important point, however, is to be aware of the implications of direct subsidies, describe them candidly, and strive for their reduction and/or elimination.

(ii) The Recurring Cost Issue: John Heard began his presentation with a discussion of the issue as it relates to the establishment of a private institution or system as a financially viable entity, an ICI, for example, or a cooperative. In this case he argued for a full-fledged financial analysis, complete with proforma statements over the life of the project and beyond, to properly analyze the recurring costs.

The intent, at this point, was to move on to two other basic project types--public sector institution/system building projects (the majority of AID projects in Africa), and research and experimentation type projects. Discussion moved to the issue of whether AID, in Africa, directly financed genuine profit-making enterprises. The answer was tentatively no, at least in the Africa experience. (The one example mentioned where AID had directly assisted such an organization was the Latin American Agribusiness Development Corporation [LAAD], a regional Latin American project.) (See recurring cost issue paper.)

5. Institutional Capacity Issues

Presentations: Satish Shah, Engineer,  
USAID/Kenya

Carl Mahler, AAO, Djibouti

Ted Morse, RDO, USAID/Swaziland

Larry Bond, Project Officer,  
REDSO/WA

The session began with the presentation of a Kenya rural roads project case study by Satish Shah. The project was uniquely structured to stimulate grass roots participation in the implementation process and it provided an example of sound institutional analysis dealing with a particular functional/service capacity area.

The other panel members each offered brief comments. The following points stood out.

--We lack the expertise to carry out institutional capacity analysis.

--The institutional capacity analysis is often left until late in the design process when it is often accomplished haphazardly. As in any major design issue, institutional questions need to be analyzed early in the design phase.

--A question we constantly address is whether to work with existing institutions or develop new ones. As a general policy AID is predisposed to work with existing organizations (as opposed to the World Bank's practice of developing "project management units"). There are, however, valid cases where the establishment of new institutions is a necessity. However, existing structures should be analyzed before moving to a new entity.

--One of the most important aspects of the institutional capacity question, especially in Southern Africa, is the absorption of foreign professional (OPEX) and technical assistance personnel. Many of these countries are near the saturation point, with hundreds of European and American bureaucrats and advisors swamping the system. This area should be analyzed critically during project design.

Discussion: Discussion evolved around questions of how to proceed with an institutional analysis and the problems posed by the lack of institutional capacity. The observation was made that analysis of a particular government unit was often of little use because of fluid institutional conditions dictated by the power of ministries to add and subtract personnel and functions at will. It was also emphasized that institutional analysis is an extremely demanding and painstaking task--if it is to be done effectively--and that normal design teams have neither the time nor the capacity to carry out such a task given other issues which need to be addressed. REDSO/EA was asked if they could "gear up" to provide assistance in this area. The answer was a qualified "maybe".

John Koehring mentioned an example of training for institutional capacity improvement which involved saturation training at all levels simultaneously. (Developed by Bob Berg in Ghana.) The notion of institutional analysis in a sector context was also discussed. Given the lack of sector level initiatives in Africa, however, the luxury of such an approach is frequently unavailable. It was observed that training in general should be at a lower level than the traditional graduate degree package that AID normally pushes.

The session ended without producing any really fresh insight. This issue is probably the most difficult of all those faced by AID in the Field. More expertise, imagination and hard work are called for.

Pending or Follow-up Action:

REDSO/EA will explore ways and means of providing additional assistance to Missions with the institutional capacity issue.

6. Section 611a of the Foreign Assistance Act.

Presentation: Tim Bork, REDSO/EA, Regional  
Legal Advisor

Panel: Jack Morgan, Engineer, AFR/DR/E  
Don Reilly, Chief, Engineering  
Section, REDSO/EA

(Note: A paper on Section 611a by Steve Tisa of GC/AFR was distributed prior to the session.)

Tim Bork used the Tisa paper on 611a as the agenda for his presentation. He highlighted the following points:

--611a requires planning, nothing more, adequate planning for the prudent management of funds. It is important to know who will do what, where and how.

--Legal assistance to meet 611a criteria is normally not necessary. Lawyers can be helpful in those cases where project design is truly innovative.

--With regard to "reasonably firm" cost estimates, as a rule of thumb--when a budget item is over \$25,000, it should have a detailed supporting breakdown. (Similar to Robinson's point on credibility, see No. 4 above.)

--Section 611a applies to all SSA and DA projects of over \$100,000, not just capital projects, with the exception of the appropriation accounts listed on page 2 of Steve Tisa's paper. (Sections 451, 492, 494A, 495F, 496 and 121.)

--The \$100,000 criteria applies to the overall project, not just to an individual component.

--There is no 611a certification. The certification requirement applies only to 611e for capital projects of over \$1,000,000. Section 611a must be satisfied by the PF itself.

--In those cases where 611a cannot be satisfied for certain elements of a project prior to authorization, the mechanism of incremental obligations can be used; it is a great design tool, not to be confused with conditions precedent to disbursement. This is the key, for example, to the "process" approach to project design as used in the Arusha village development project.

--611a for ICI projects can be satisfied because the purpose of these projects is generally oriented toward strengthening an institution or a mechanism rather than to carrying out sub-projects. Planning, in these cases, is based on institutional procedures, capacity, criteria, etc.

--For other "basket" projects, 611a can sometimes be satisfied by the establishment of very solid criteria for project eligibility and a positive list of which projects will, in fact, be carried out. The case must be made, however, that the true purpose is to establish or improve an institutional capacity or a system.

--The application of 611a with respect to certain sector support type activities is somewhat less rigorous, but requires a different form of treatment, i.e., analysis must be carried out in a "program context".

Mr. Bork then moved on to 611b (cost benefit requirement for water projects) and the application of a new Section 101 of the FAA which requires that a specific federal set of principles and standards be applied as spelled out in the appropriate Federal Register. These principles and standards are applicable any time water is transferred anywhere, including up a water well. The requirements are rigorous and further clarification is necessary--especially where multiple small water related activities are planned. (Considerable discussion revolved around a fish pond [over 50 ponds] project currently bogged down over the issue in Rwanda.) Tim Bork will follow up on this through the AID/W General Counsel.

The engineers on the panel stressed that 611b related cost/benefit analyses had to be separated from the overall economic analysis of the project in order to satisfy the requirement.

Discussion: A brief discussion followed the coverage of each point above. The greatest concern was exhibited over 611b, as water forms a significant element of planned East and Southern Africa programs.

7. Environmental Issues

Presentation: Bessie Boyd, Environmental Advisor,  
AFR/DR/SDP

Backup Panel: Curt Anderson, RFNSO/EA,  
Health Advisor

Robert Lester, REDSO/EA, GC

Jack Morgan, AFR/DR/E

Bessie Boyd began with a rundown on two recent Africa Bureau initiatives with respect to environmental procedure:

--A recommendation has been proposed and transmitted to the Administrator which would permit threshold decisions on most projects to be made by field missions. The IEE and negative determination would then be sent to AID/W for concurrence by the AA.

--A memorandum, initiated by PPC, requesting that a number of project types not require an IEE has been cleared by the Bureau. Because this requires an amendment to Regulation 16, approval will take many months. Project categories proposed for exclusion include: education, public administration, controlled experimentation, field evaluations, analysis, research and development, meetings, cases where AID is a "minor donor", disaster relief, 211d grants, Title III, commodity import, health care (except water projects), and population.

Beyond the above, Ms. Boyd explained that most IEEs did not require an environmental specialist, but could be handled primarily by engineers and project officers. She explained that it was permissible to address "major" environmental concerns rather than attempting to address all check list items in equal depth. (Noise pollution, for example.) She stressed that IEEs should be as brief as possible.

Panel Discussion: The panel was called upon primarily to discuss the pesticide issue. Several Missions have attempted to obtain the registered pesticide list from DSB and have been consistently frustrated. Apparently the list is constantly changing, and DSB feels that, in cases where a pesticide element is included in a project, it is necessary for an expert to travel to the country to determine eligibility. Bessie Boyd mentioned that Fred Whitmore's office in DSB was prepared to send specialized personnel to the field upon fairly short notice. It was also pointed out that even in those cases when another donor, in a multi-donor effort in which AID is associated, buys the pesticide, it must conform to AID regulations.

There was much confusion expressed over the pesticide issue and it was decided that REDSO/GC would seek clarification and additional guidance from AID/W GC and DSB. Also, John Koehring advised that all Field messages relating to environmental actions should be flagged for AFR/DR, as well as DSB, in order to improve coordin-

ation in AID/W. Often pesticide and other environmental messages go to DSB, but somehow never come to the attention of the AFR/DR backstop officer.

In another area, there was a need expressed for improved guidance on environmental issues associated with irrigation. (Bill Johnson promised to follow up on this in AID/W.)

Follow-up Action:

--Clarifications on the pesticide issue will be sought from AID/W GC and DSB (REDSO/EA GC).

--AID/W will attempt to obtain clearer guidance from DSB on environmental concerns associated with irrigation. (AFR/DR/ARD).

8. Remote Sensing in Project Design and Evaluation.

Presentation: Merrill Conitz, REDSO/EA

Mr. Conitz provided a brief, but comprehensive overview of remote sensing and its potential application to AID project design. The presentation was supplemented by slides of east African settings illustrating types of primary data that can be collected using this technique. The following points were emphasized:

--Satellite imagery meets U.S. mapping standards. It requires less interpretation and reconciliation for mapping than aerial photography.

--Remote sensing can be used to determine the following:

- \*population density
- \*analysis of small farm tenancy
- \*livestock grazing areas
- \*environmental change (monitoring of burning, erosion and grazing)
- \*international boundaries (land use often changes)
- \*various geological formations

--The facility being established in Nairobi (Remote Sensing Regional Training and User Assistance Center) has been providing basic training in remote sensing, but is now preparing to offer more advanced training to host country officers and technicians.

--In the future the facility will offer assistance in project design where appropriate. Remote sensing is particularly suitable for natural resource inventories, land use surveys and regional development planning. Inquiries should be forwarded to REDSO/EA.

#### 9. Evaluation and Evaluation Planning.

Presentations: Helen Soos, Evaluation Officer,  
REDSO/EA

Alan Hoben, PPC, Director of  
Studies Division

John Heard, Design Consultant

Helen Soos briefly discussed AID's present evaluation system, including the PES, and stressed the benefits of evaluations for project management through signalling the need for

corrective action. She also emphasized the utility of the Logical Framework format in conducting project evaluations.

Alan Hoben focused on the growing interest of AID/W and Congress in the evaluation of AID programs. He stated that evaluation would be taken much more seriously by the Agency in the future (from the Administrator on down) and urged that more attention be paid to evaluation planning in the Field. Mr. Hoben's office in PPC has embarked on a program of special evaluation studies in such key AID activity areas as land settlement, agricultural credit, etc. The office is especially anxious to tap AID direct hire experience.

John Heard concentrated his comments on evaluation as a tool in project implementation and design. He stressed the following points:

--Evaluation (not to be confused with audits or inspection) should be considered an integral part of the design, implementation and re-design process. It should be a field responsibility. Long neglected in AID's African program, evaluation will receive increasing attention as more projects are implemented. This probably will be part of an historical and expected pendulum swing toward an increased emphasis on implementation.

--Evaluation is an invaluable project management tool. When faced with a real dilemma in implementation, and hard decisions are in order, a special, carefully tailored, evaluation can be a remarkably effective mechanism.

--Evaluation should be designed into projects systematically and funded like other key input components, such as technical assistance or training.

--Evaluation is especially important in the African setting where the program is constantly breaking new ground, testing new approaches, and becoming longer term. It is vital that the impact of innovation be documented and verified. Evaluation is also essential as a linkage between phases of a long-term development scenario.

--Evaluation (with a few exceptions calling for "one shot" looks) should be a dynamic, on-going process involving the ongoing collection of data and feedback, the processing and interpretation of information, review, and corrective action. This is the key to "process" or rolling design.

--Available evaluation methodology and technology (data collection, management, and interpretation) has become more sophisticated over the past few years. As in other technical areas, when local skill

and experience is inadequate to undertake a difficult evaluation, outside assistance should be utilized.

--Host governments and executing agencies should be involved in project evaluations--if not in the actual task, at least in a substantive review of findings. Counterpart agencies will likely take corrective action and accept indicated changes if they have been involved in the formulation of recommendations and have officially endorsed them.

--Concerning basic methodology, a good evaluation plan should concentrate on the purpose level of a project. Outputs may legitimately change over time, but presumably the purpose will not. Evaluation activities should be targeted on "conditions expected" and on linkages in the input-output purpose chain.

--With respect to survey techniques, traditional sample survey methodology is not always indicated because of its complexity, cost, and time requirements. There are shorter and less expensive techniques for gathering valuable field information, feedback and data. For example, a variety of proxies are available for hard to obtain income data. Additionally, there are interviewing techniques involving free-flowing conversation which can draw worthwhile insights from project participants.

Discussion: There was little time for discussion because of the three speakers. REDSO made the point that, since field Missions are obviously "interested parties", evaluation should be carried out by Washington or an outside source. The panel responded that this did not necessarily follow, especially if one views evaluation as an implementation instrument rather than a means of assessing blame for problems. There is, of course, a place and a need for outside evaluations. Missions and host governments, however, should be meaningfully involved wherever possible.

#### 10. Implementation Planning

##### (a) Implementation Plan Requirements and Techniques

Presentation: John Heard, Design Consultant

Backup: Larry Hausman, Chief, Design Section, REDSO/EA

John Heard's presentation was brief and dealt with the following points:

--Implementation plans are just as important as any other component of the PP, if not more important, and should receive commensurate attention. Inadequate implementation plans will not be accepted by AID/W.

--A good implementation plan is useful as a working document for project administration.

--Above all, implementation plans should be honest. If it will take three years to get the project off the ground, say so. It is counter-productive to create false hopes.

--Implementation planning should not be carried out in a vacuum by the project officer. Design technicians must be involved along with host government personnel whenever possible.

--Implementation planning should not be left to the end of the design scenario.

--Despite the absence of a PPT requirement, implementation plans should be based on some form of networking (CPM, PPT, etc.). The technique of having all technicians plot their own components on a large sheet for subsequent reconciliation with other lines of action is recommended. The plan should constantly be checked and revised as new factors emerge.

Discussion: Larry Hausman led off the discussion by emphasizing the critical importance of Mission involvement in implementation planning. The Mission, after all, must live with the result.

The housing problem occupied the remainder of the session. The current lack of housing, combined with the high cost and long lead times required for construction, pose a major program constraint in

most countries for East and Southern Africa. Suggestions ranged from a "block grant" for housing to recipient countries to a proposal for a regional contract with a large construction firm to take advantage of economies of scale. Where the host government is to provide housing, it was suggested that AID could provide contingency funding where essential to prevent major project delays. It was emphasized that contractors should not proceed to post until housing is ready. Prolonged stays in temporary quarters play havoc with morale and result in drastically reduced productivity.

In view of the urgency and magnitude of the problem, REDSO indicated that it was prepared to do a study of the region-wide housing situation on which would be based a regional project proposal. Apparently SER/MO is also engaged in such a study.

Follow-up Action:

--AID/W should review the status of the SER/MO housing study and follow through with an appropriate regional initiative to deal with the housing problem.

--If the SER/MO study does not deal adequately with the housing situation in East and Southern Africa, REDSO may wish to carry out its own study as indicated above.

(b) Commodity Procurement

Presentation: John Lewis, REDSO/EA, Commodity Specialist

John Lewis provided an excellent general rundown on commodity procurement policy, issues, and planning considerations related to policy design. He dealt with the following issues:

--Off-shelf procurement should always be considered for small items (less than \$2,500). A proposed increase on the shelf item limit to \$5,000 has not yet been approved.

--It is AID policy that the host country should handle procurement for AID-financed commodities whenever possible. (In most cases this is not done). Direct procurement by the USAID or AID/W should be a last resort, and a special justification for AID procurement is required.

--Other U.S. Government agencies, such as the GSA, can be utilized as procurement agents. In the case of the GSA, the fee is 8 percent, and there is no need for waivers because the source is a U.S. Government agency, regardless of where the commodities are actually manufactured. Orders are made by specification rather than brand name. The Excess Property Program should also be considered in each case.

--For the most part, procurement services by the African-American Procurement Center (AAPC) have been quite good. AAPC charges a 7 percent fee which can be negotiated down somewhat for large orders.

--Lead times for procurement of various items vary from year to year. When in doubt, REDSO should be consulted. For procurement planning purposes it is important to determine exactly when commodities are required.

--Total cost for items delivered in East and Southern Africa normally runs 35 percent over sales price, but can reach 120 percent. Again, REDSO should be queried.

--The REDSO commodity specialist is available and should be scheduled for design teams.

--The biggest problem, of course, is with waivers, especially for vehicles. Construction materials, particularly cement, are also difficult. Waiver justifications in the future must be stronger and more complete. REDSO is prepared to assist the missions in the preparation of waivers.

Discussion: Discussion dealt mainly with waivers. There are no simple answers. The important thing is to establish a really sound argument in each case.

(c) Contracting Issues

Presentation: Dolf Bennett, Contracts Officer, REDSO/EA

Mr. Bennett began with a discussion of the host country versus direct AID contract issue. He pointed out that, while it is AID policy to strive for host country contracting, in most cases, as a practical matter, it simply does not make sense in the Africa context. He is prepared to assist recipient governments work through the process, however.

Other points stressed by Mr. Bennett were:

--The "two envelope" method of proposal submissions is recommended.

Cost proposals are left sealed until after technical proposals are rank ordered. They are only opened, one at a time, as negotiations commence with each contractor in the order selected.

--The only effective means for assuring competitive selection is through sufficient advance publicity. The Commerce Business Daily should be used as well as the Contractor's Index for those firms which have expressed an interest in certain types of work.

--The RFP must stipulate a number of key items of information.

Among them are: Key clauses of the contract to be signed and exactly how proposals are to be graded in the evaluation exercise.

--Despite the advisability in many cases of project site visits for proposing firms, there is no legitimate way for AID to reimburse for such pre-selection expenses.

--In the case of host country contracts, especially of the collaborative type, governments should demonstrate that they are capable of negotiating effectively on price.

--Project funding data should not be disclosed to competing firms in advance of an award of a contract.

11. Legal and Statutory Criteria (Outside of Section 611)

Presentation: Tim Bork, REDSO/EA, Regional Legal Advisor

Backup: Bob Luster, REDSO/EA, Regional Legal Advisor

Tim Bork covered a wide range of topics in his presentation related to legal, policy and regulatory criteria. Highlights included the following:

--New Legislative Provisions:

\*Section 103 does not forbid major infrastructure for AID financing provided that the activity is carried out jointly with other donors

\*Both the "40 country" (grants) and "20 country" (loans) limitations have been removed from the FAA.

\*In the case of RLDCs, principal and interest repayments can be placed in a special account and used for development purposes (loan

forgiveness provision).

\*\$10 million has been earmarked for Women-In-Development. The requirement can be met, however, through building WID elements into regular projects. Separate WID projects are not necessary.

\*Proprietary procurement must now be justified to Congress.

--Section 110a: The 25 percent host country contribution requirement applies only to bilateral assistance projects and does not apply to true multi-donor projects. In those cases, however, where the AID activity is discrete but under a consultive group arrangement, 110a does apply. (It should be noted that PPC is becoming more and more adamant that waivers to 110a not be granted. Eligible contributions include cash, capital goods, personnel, studies, services, administrative cost, land, and inputs from beneficiaries).

--Conditions and Covenants: Although lawyers can assist with legal phrasing of conditions and covenants, the substance should come from design team members. Conditions (which have much more legal force than covenants) should be carefully planned so that they do not delay the project. Covenants, although less forceful, have great value in project administration by bringing about needed inputs and complementary activities in accordance with the implementation plan. Covenants can also have time requirements, which can further assist in timely project scheduling.

--Other Areas Requiring More Attention by USAIDs:

- \*Does the proposed recipient have the legal authority to receive the grant or loan?
- \*Is the funding source appropriate for the proposed activity? (Food and Nutrition, Population, Health, etc.)?
- \*Is the proposed Grantee or Borrower eligible for assistance (620 prohibitions)?
- \*Has the local currency component of the assistance package been properly broken out?
- \*Does the activity conform to the narrative and funding of the Congressional Presentation?
- \*Waiver Requests. Too often Missions do not adequately justify requests for waivers. Such requests increasingly will have to be more thorough, complete and persuasive.
- \*Has the role of women been adequately taken into account in project design?
- \*611e. The Mission Director's certification should accompany any capital project activity of over \$1.0 million, even if only a component of a much larger, primarily technical assistance, project.

D. Phase Three: New Policies Affecting Project Design and Implementation

Moderator: John W. Koehring, Director, AFR/DR

1. Title XII

Presentation: William Johnson, Chief, AFR/DR/ARD

Panel: Paul Guedet, Chief, AFR/DR/SA

John Pielemier, USAID/Botswana

Bill Johnson provided an excellent overview of the substance of Title XII legislation and its potential impact on the African program. He elaborated on a number of advantages, limitations and other characteristics of Title XII institutions relative to project types and situations faced by Africa USAIDs. The more important points stressed during his presentation follows:

--There are 112 qualifying institutions, all competent in their respective disciplines, which are represented by the Board of International Food and Agricultural Development (BIFAD). The USDA is also a BIFAD member.

--Title XII institutions wish to be involved at the earliest possible planning stage for program development, i.e., during CDSS preparation.

--The Joint Committee on Agricultural Development (JCAD) and the Joint Research Committee (JRC) are the operating agencies of the BIFAD. Bill Johnson is the key person for AFR/DR in both committees. JCAD is particularly anxious to carry out baseline studies in areas appropriate for Title XII activity.

--A Title XII collaborative contract represents a streamlined mode of contracting and can, if monitored properly, proceed without a hitch from design to implementation. (The RFP can be restricted to certain Title XII institutions.) There also is obviously a need for a more effective code of ethics among Title XII schools competing for AID contracts.

--Some evident shortcomings and problem areas of Title XII are:

\*It is often difficult to recruit professors for field assignments of more than 2 years. (Such a stipulation should always be spelled out in the RFP.)

\*There is a tendency to send the people who can be spared from busy academic programs, i.e., less than their top quality people.

\*Title XII teams are often very "naive" in their design work. They have little recent practical experience overseas.

--If a USAID does not want a Title XII institution for a particular project, this should be stated, with reasons.

--In general, Title XII institutions are capable and appropriate for research, training, extension, academic institutional development, and information system development in the area of food production and distribution. They are not suited, normally, for more heavily operational activities such as land development, marketing, input delivery, etc.

Panel Discussion: In brief presentations, and in interacting with the floor, Paul Guedet and John Pielemier brought out the following relevant points:

--In Title XII design efforts, AID can and should require an AID project officer.

--It is extremely important to assure that the host government concurs with, and participates in, the design effort.

--When a Title XII institution designs a project, it assumes it will also implement it. This should be clarified before the team is sent out.

--At the commencement of a design effort, the Mission Director, project officer, and other appropriate Mission staff should sit down with the Title XII team and clarify all roles, functions, relationships, and the ground rules of the effort in general. It is especially critical to establish who is in charge, and limits with respect to host government negotiations.

--To some extent host governments need to be protected from Title XII institutions. Some of the universities can and do overwhelm governments with sophisticated, but sometimes inappropriate, notions of what can or should be done in a given setting.

--Both AID and host governments can interview Title XII candidates, and both have the right of approval.

2. PL 480, Title III

Presentation: H. Peters Strong, Food for Peace Officer, REDSO/EA

Mr. Strong presented a comprehensive rundown on Title III legislation, including country eligibility criteria and qualifying procedures. The latest Washington and REDSO/EA guidance was also distributed. In addition, Mr. Strong covered advantages and problems of the program. Key selected points of the presentation and discussion are as follows:

--OMB, USDA, State and AID must all agree on a Title III program.

--PL 480 Title III agreements are not commitments. Food shipments are always "subject to availability of U.S. commodities" as determined by the Secretary of Agriculture.

--Annual progress by a country in compliance with the Title III agreement is constantly subject to Washington approval. The Subcommittee on Food in Congress will most likely become involved in the approval process.

--It is not wise to send "trial balloons" to Washington with regard to a particular country--more often than not, they will be turned down.

Proposals should be analytically based in compliance with the legislation and fully justified before being forwarded. REDSO is prepared to assist.

--Likewise, it is not wise to encourage a host government's hopes unrealistically. Title III procedures are demanding and extremely complex. Analytical and reporting requirements can be considered onerous in some instances. A major effort needs to be made to rework the legislation so that it becomes a practical development assistance instrument.

--In the past, PL 480 agreements have not had to go through the FIC/PP cycle. This is changing with Title III.

--Functional account elements of a Title III program can be made to comply with Section 611a criteria.

Note: For details of Title III legislation, plus general guidance and a description of intricacies, pros, cons, etc., see the "Executive Summary" (prepared by the Food for Peace Office in Washington), and the Title III handout prepared by REDSO/EA, both distributed during Mr. Strong's presentation. Above all, do not jump into Title III "blind", as it were. Consult extensively with REDSO/EA and other informed sources first.

3. Innovations in Design

Presentation: John Heard, Design Consultant

Panel: Paul Guedet, Chief, AFR/DR/SA

Larry Hausman, Chief, Design Section,  
REDSO/EA

The thrust of John Heard's presentation was to encourage the application of innovative approaches early in the design process in order to develop imaginative ways to deal with the more severe constraints frequently encountered in the African Program (lack of data, infrastructure, an institutional and human resource base, etc.).<sup>1/</sup> Often such constraints pose almost impossible barriers to adequate feasibility analyses and planning prior to project authorization.

Mr. Heard then turned to a brief discussion of the models listed below, but stressed that these were only illustrative of what has thus far been attempted. The Bureau is prepared to undertake certain risks in order to experiment with new schemes for addressing traditional issues.

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<sup>1/</sup> As mentioned in the draft guidance paper, the catch word "innovation" is used for lack of a better term. Most of the approaches discussed have been around for a number of years.

Phased Development: For a long-term project with institutional, system, or sector objectives (e.g., Casamance Regional Development Project in Senegal), the first phase can lay institutional, research and infrastructure ground work over a three to five year period. This would be followed by a significantly expanded field operational phase.

The Evolutionary Approach: A variation of phased development, the evolutionary approach, is for those cases where a major effort in data collection and analysis, training and/or experimentation is necessary prior to launching a complex or integrated development effort. In these situations, an alternative is to authorize a small project with modest initial interventions while technical specialists, contracted by the project, carry out necessary studies for the authorization of a larger project two to three years later.

The Process Approach: This approach involves the notion of a dynamic design, implementation, redesign process with built-in data gathering and management, feedback, planning and replanning characteristics. The model is applicable to cases where actual field experimentation is required along with data gathering and analysis to adequately shape and reshape interventions. (Arusha Planning and Village Development in Tanzania.)

Core Capacity-type Projects: This type of project is generally precursor to a sector level initiative but is also suitable for long range river basin and regional development efforts involving the establishment of special "authorities" or project management units. This type of project is geared toward the establishment of a permanent institutional, analytical, and planning capability, often of an inter-agency nature. (A number of examples are available from the Latin American program due to its heavy past emphasis on sector planning.)

Rural Works and Other Multiple "Sub-Project" Approaches: The approach usually establishes a fund, a mechanism, and sometimes an organization, for the evaluation, approval and monitoring of sub-projects--often for village improvement, low-level enterprise, or infrastructure. Comprehensive criteria are required for project selection and approval utilizing financial, economic, social, technical and policy indicators. The model is appropriate for the development of "outreach" analytical and management capacities on the part of both public and private "delivery systems". (Mali Rural Works.) With this approach, a special effort must be made to satisfy 611a requirements. (See Guidance Paper on Design Innovations. Legal consultation is suggested prior to commencing design of such "basket" projects.)

Title XII: Title XII was discussed as a design alternative when faced with the need for certain types of long-term, consistent technical support. (See D.I. above.)

Paul Guedet led a brief discussion of the PVO vehicle as an alternative mechanism when faced with the absence of effective governmental channels for needed assistance. In many cases PVO's are capable of filling important gaps in a government delivery system. Sometimes valuable linkages can be established with supporting U.S.-based PVOs.

4. Private and Voluntary Organization (PVO) Policy

Presentation: John Koehring, Director, AFR/DR

Mr. Koehring began by elaborating on the current confused status of Bureau policy and procedures toward PVOs. It is, he pointed out, the Africa Bureau's desire to deal with PVO initiatives much as with regular projects. New guidelines for Bureau handling of PVO projects are being developed by the recently appointed PVC coordinator for Africa, Monty James, former Mission Director from Tunisia. AFR/DR is encouraging the development of a practical set of guidelines and procedures.

E. Phase Four: The Washington Review Process

Moderator: Glenwood Roane, Director, USAID/Kenya

Presentation: John Koehring, Director, AFR/DR

Panel: Paul Guedet, Chief, AFR/DR/SA •  
Sheldon Cole, Chief, AFR/DR/EA  
Hariadene Johnson, Director, AFR/EA

Mr. Koehring began the session with a brief elaboration of the goals of the review process, which are to assure feasibility and soundness of design as well as compliance with a host of legislative and policy criteria. He also distributed a step by step breakdown and explanation of the process and called for questions on areas of confusion or concern.

Paul Guedet then touched on a number of the problems he had had from the Washington end in securing project authorization. These problems centered on internal inconsistencies in field submissions, discussed earlier in the week, as well as a special problem with waivers (inadequate justifications, insufficient background information, etc.)

Discussion: During discussion the following points and areas of concern were highlighted:

--Effective AID/W-Field communication is a major part of the answer to review process problems. (The Southern Africa Office of DR was highly complemented by field posts for extremely effective communication--often by telephone--which has resolved or smoothed

out a number of potential review problems before they had become major issues and allowed to bog projects down.)

--Another important measure is to encourage more frequent travel of AID/W officers to improve their understanding of country programs and constraints. Ideally, each officer should go out and design a project at least once a year. Sheer lack of knowledge in Washington is a major review process constraint.

--AFR/DR is considering a procedural change in the review process which would involve a small "in-house" review of PPs prior to the Project Committee meeting. In the pre-review meeting routine issues and inconsistencies would be resolved and a firm agenda set for the project committee.

--Much confusion exists now in AID/W because there are so many difference lists of pending projects in different stages of development, e.g., differences between DR project lists, ABSs and OYBs. It is hoped this will be resolved shortly by a standardized, computerized master "rack up" to be produced periodically by AFR/DP.

--In the area of Congressional Notifications, Congress is now asking for a quarterly report of where all funds come from for project funding increases and new projects. In effect, AID will have to

report both decreases and increases to figures cited in the Congressional Presentation. It will be important, therefore, to have solid explanations for cutbacks and eliminations as well as additions.

--There was some discussion of the problem of uninformed questioning and critiquing in review sessions. It was made clear, however, by Mr. Koehring and others, that such "posturing" is becoming more and more a thing of the past thanks to a real effort by the Bureau to establish better controls and a more serious vein for Project Committee reviews.

F. Phase Five: Implementation

Moderator: Louis Cohen, Director, REDSO/EA

1. New Delegation of Authority

Presentation: Tim Bork, REDSO/EA, Regional Legal Advisor

Tim Bork discussed the new consolidated Delegation of Authority (Number 140)--issued in October by the Assistant Administrator for Africa. It was agreed that the document represented a vast improvement over the previous, highly fragmented, set of delegations which had evolved over a period of more than two decades. The principal problem with the delegation is the lack of a means of redelegating authority on the part of an acting director or acting chief of an AID Field post. Tim Bork will pursue a clarification of the question with AID/W General Counsel.

Other points which received special emphasis included:

--The Consultation Concept. Delegated authorities shall be exercised only after consultation with appropriate legal, contracting, engineering and other advisors. If the needed specialists are not on the staff of a field post, consultation must be sought with REDSO or AID/W offices. (Consultations can be carried out by any practical means, i.e., cable, phone, letter, etc.)

--A waiver control system will now have to be set up at each field post with a designated "coordinator" in charge.

--In the case of field posts which are not Missions or Regional Offices, delegated authorities relative to execution of agreements and approval of projects are subject to the concurrence of the Mission Director or Director of the REDSO to whom authorities are delegated with respect to the given field post. REDSO/EA, for example, has delegated authority for Burundi, Djibouti, Rwanda, Somalia, Sudan and Zambia. With respect to project approvals, therefore, REDSO/EA will review project papers, calling on appropriate staff expertise as necessary prior to issuance of concurrence by the Director. Small posts should keep this in mind in regard to the form and content of PPs and other documents as well as with regard to time requirements and design planning in general.

2. REDSO/EA and EAAC Support

Presentations:

Don Reilly, REDSO/EA, Chief of Engineering

Tim Bork, REDSO/EA, Regional Legal Advisor

John Lewis, REDSO/EA, Procurement Specialist

Adolph Bennett, REDSO/EA, Contracts Officer

Grover Robinson, Controller, EAAC

In this, the last session of the seminar portion of the workshop, each of the above specialists spoke of what they and their respective offices hoped to provide in the way of supporting services for field posts in the REDSO/EA area of coverage. Most of what was said had been stated in earlier presentations. All stressed a desire to be more involved, earlier in the design process. All expressed a willingness to travel and actively participate in project design. All, however, are limited in terms of available time and stressed careful planning of inputs to the design process.

IV. Closing

Louis Cohen, Director, REDSO/EA

Mr. Cohen closed the seminar portion of the workshop, emphasizing that more had been gained than expected from the sessions. A valuable AIC/W-Field dialog had in fact occurred, and much had been learned.

The workshop then proceeded to the business of design scheduling under the coordination of George Rublee, Deputy Director, REDSO/EA.



Appendix A

WORKSHOP PARTICIPANTS

AID/W

John W. Koehring	Director, AFR/DR
Chuck Husick	AFR/DRSFWAP
William Johnson	Chief, AFR/DR/ARD
Allen Hoben	PPC, Chief of Studies Division
Bessie Boyd	AFR/DR/SDP
Sheldon Cole	Chief, AFR/DR/EA
Jack Morgan	AFR/DR/ENGR
J. Paul Guedet	Chief, AFR/DR/SA
John Heard	AFR/DR, Contract Design Consultant

REDSO/EA

Louis Cohen	Director
George Rubley	Deputy Director
Larry Hausman	Chief, Project Design
Adolf Bennett	Contracts Officer
Diane Blanc	Design Officer
Ned Greeley	Anthropologist
John Lewis	Procurement
Anita Mackie	Economist
Helen Soos	Economist
Joyce Mortimer	Women-In-Development Contractor
Don Reilly	Chief, Engineering Section
Steve Norton	IDI
Tim Bork	Regional Legal Advisor
Robert Lester	Regional Legal Advisor

REDSO/EA (continued)

Michael Lippe                      Housing  
Tom Lofgren                      Design Officer

FIELD POSTS

Larry Abel                      USAID/Kenya  
Richard Archie                      USAID/Kenya  
Byron Bahl                      USAID/Lesotho  
Burt Behrens                      USAID/Tanzania  
Margaret Bonner                      USAID/Ethiopia  
Louanne Douris                      USAID/Kenya  
John Figueria                      USAID/Lesotho  
Bob Friedline                      USAID/Botswana  
Bob Gibson                      USAID/Tanzania  
James Holtaway                      USAID/Sudan  
Joe Langlois                      AAO/Burundi  
Carl Mahler                      AAO/Djibouti  
Gene Morris                      USAID/Swaziland  
Ted Morse                      RDO/Swaziland  
John Patterson                      AAO/Rwanda  
Carl Penndorf                      USAID/Kenya  
John Pielemeier                      USAID/Botswana  
Doug Robbins                      USAID/Kenya (EAAC)  
Grover Robinson                      USAID/Kenya (Controller, EAAC)  
Kenneth Sherper                      USAID/Ethiopia  
Boyd Whipple                      USAID/Kenya (EAAC)

REDSO/WA

Larry Bond                      Project Officer

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