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LIST OF ACRONYMS

AAAS	American Association for the Advancement of Science
AD	Administratively Determined
AFR	Africa Bureau of AID
AGR	Agriculture Sector of AID
AID	Agency for International Development
APRE	Asia and Private Enterprise Bureau of AID
BIFAD	AID Board for International Food and Agricultural Development
ENE	Europe and Near East Bureau of AID
ENR	Environment and Natural Resources Sector of AID
FENR	Forestry, Environment, and Natural Resources
FS	Foreign Service
FSN	Foreign Service National
GS	Civil Service
LAC	Latin America and the Caribbean Bureau of AID
LDCs	Lesser Developed Countries
NGO	Nongovernmental Organization
PVO	Private Voluntary Organization
RD	Rural Development Sector of AID
S&T	Bureau for Science and Technology

EXECUTIVE SUMMARY

As we have entered the 1990s, the pace of world change has been dramatic and it is essential that the Agency for International Development keep pace with these significant events. Created in 1961, AID operates largely under the same structure today. There have been changes in staffing patterns, program emphasis, and funding levels, but many of the basic operating principles have remained constant. It is clear that the Agency is in a period of transition.

Changes that have had impact on the development environment, such as shifting security concerns, the rise of other donors, and recognition of the importance of the private sector, have altered the criterion used in choosing countries to support. The end of the cold war and growing public concern for natural resources and the environment have precipitated the emergence of AID programs in new countries. Similarly, there has been a shift away from project-oriented assistance in favor of program assistance. This shift reflects the growing assumption of the importance of policy dialogue to encourage change in developing economies. Finally, the failure of funding to match the increased cost of operating AID programs has resulted in more contracting and less direct hire employees implementing programs throughout much of the Agency, thereby reducing the Agency's ability to directly oversee its programs.

For the Agency to design an effective strategy to meet the staffing needs of the 1990s, it must first develop a shared vision of its goals, objectives, role, and operating style. In so doing, the Agency should thoroughly examine its current organization, and define possible alternatives that would more effectively promote its mission and maximize the productivity of the staff. This is especially important in view of the external pressure on the Agency to reduce the number of direct hire staff. AID's administrative, personnel, contracting, procurement, and reporting procedures should be streamlined to accommodate organizational and budgetary realities. As Agency goals are brought in line with resource levels, Congress must be convinced to refrain from adding additional tasks without providing the resources with which to carry them out. Congress has provided some additional authorities for the Agency to increase its direct hire staff; this authority has not been implemented.

While there are varying views on the future directions of the Agency, our respondents seem to agree that the trend in the Agency to move into a broader range of countries, and to move away from project assistance and toward program assistance, will continue. Significant shifts are occurring in the types of programs assisted with an emphasis placed on policy change, private sector development, and environmental concerns. At the same time, programs in agriculture and rural development are either being reduced or refocused. Areas that are making significant growth include environment and natural resources policy and economics, strengthening of environment and natural resources institutions, pollution control, and sustainable agriculture. Technical staff with capabilities in these areas need to be added to adequately develop and monitor environmental/natural resources programs.

Agricultural programs are evolving to an emphasis on agricultural and macroeconomic policy and away from traditional agriculture projects. Agribusiness and agroindustry are also receiving more attention as they are an integral part of the increased emphasis placed on private sector development. Sustainable agricultural production is receiving greater attention in agricultural programs. The concepts central to rural development programs are changing to focus on local government development, decentralization, and strengthening of democratic principles through institutional development.

To permit the smooth and rapid evolution of changes in the Agency programs, greater effort should be directed to revising and systematizing program assistance concepts and procedures. This effort should include revision of the basic Agency handbooks to reflect these ongoing changes. AID staff, particularly those who "grew up" in the project/public sector emphasis era, should be given training and career development opportunities in line with AID's new program priorities. Finally, program changes should be incorporated into the Agency work force planning.

The past decade has seen dramatic shifts in the composition of the work force. Direct hire staff has significantly declined, particularly in agriculture and rural development, while the number of nondirect hire employees has risen sharply. AID's attempt to do more with less (direct hire staff) is having adverse effects on program quality and accountability and should be discussed frankly with OMB and the Congress to attempt to reverse this downward trend. Some of the new program-funded direct hire authorities provided by Congress should be implemented by the Agency. One clear effect of the decrease in field technical officers and the attendant increase in nondirect hire employees has been a change in the role of direct hire staff away from dealing with specific technical issues and tasks toward conceptualizing and managing a complex, integrated process which utilizes an array of long- and short-term local, U.S., and third country contract employees. Under this structure, direct hire employees responsibilities emphasize developing sector and subsector strategies, negotiating agreements and policy objectives with host country officials and private sector representatives, developing terms of reference and overseeing contract technical assistance.

Given these changes, work force planning efforts should reflect not only the continued need for strong technical knowledge and skills, but also the need for management skills, strategy formulation, program conceptualization, negotiation, communication, and facilitation skills. The importance of maintaining adequate field direct hire technical staffs should be emphasized by senior management. AID's field presence is its major comparative advantage, and direct hire technical staff is needed to ensure the technical relevance and quality of Agency programming, to retain technical credibility with host-country officials and others, and to acquire, guide and interpret the activities of contracted technical expertise. The Agency should also examine the degree to which it can contract out administrative functions to free up direct hire positions to maintain the quality of its technical portfolio.

The Agency should invest in the development of a cadre of career technical officers to take on the broad technical management of mission and central bureau programs in agriculture, rural development, and environment and natural resources management. Since it is likely that mission direct hire technical staffs will remain small, this will place a premium on good technical advice and backstopping from a cadre of AID/W technical specialists who will also be responsible for managing the Agency's research program and interacting with the U.S. and international technical community.

Finally, in order to more effectively plan for, recruit, assign, and train Agency direct hire staff, a skills-based personnel system, replacing the traditional backstop system, should be adopted. Personnel data records should be expanded to include greater details of the technical experience, knowledge and skills possessed by each staff member, as well as the management and other skills required to carry out current and future roles within the Agency. Other actions that should be taken to increase the efficiency of work force planning include: developing revised position descriptions, expanding the personnel database system to track technical and general skills, periodically reviewing the database to bring it in line with existing program requirements, and involving senior executive and technical managers in work force planning.

SECTION I. INTRODUCTION AND BACKGROUND

This report is in response to a request by a subcommittee of the Agency for International Development (AID) sector councils for agriculture (AGR), rural development (RD), and environment and natural resources (ENR)[1] that we seek to identify the skills needed by direct hire technical personnel in these technical areas to implement program strategies over the coming decade. Specifically, the Scope of Work called for the Chemonics team, in conjunction with the subcommittee, to develop the following outputs:

- A listing of priority technical areas in agriculture, rural development, and environment/natural resources management where AID would focus efforts in the 1990s;
- An inventory of essential and desirable technical and general skills needed to design, implement, and evaluate programs in the priority technical areas;
- Identification of regional differences in program direction and skills requirements;
- Definition of appropriate roles and responsibilities of U.S. direct hire Civil Service (GS) and Foreign Service (FS) employees, Foreign Service Nationals (FSNs), and all types of contract employees;
- Discussion of alternative technical direct and nondirect hire staffing scenarios based upon program size and complexity, and suggest a typical "career ladder" for technical personnel;
- To the extent possible, an evaluation of current Agency technical skills mix and a comparison of this with the skills identified as necessary to manage the Agency's new program directions; and
- A discussion of systems for better matching employee skills with program requirements in the assignment process, through recruitment, and through in-service training.

To address the questions and issues raised above, the team undertook a review of Agency studies and strategic documents (Annex C) and designed and administered a brief questionnaire (Annex B) to survey 77 AID field and AID/W direct hire employees and conducted personal interviews with 52 direct hire employees. The questions asked provided information as to the respondents' views on emerging AID program trends, future size, structure, and function of technical staff in missions and in AID/W; the future roles of direct hire and contract technical staff; and the types of general and technical skills most needed by direct hires to be effective in the future.

[1] This report did not take into consideration the area of energy.

The survey did not attempt to differentiate between what respondents thought "will be" and what "should be." In general, the majority of respondents had developed a clear vision of how the Agency would function over the next decade and were attempting to carve out a positive role for themselves. In a significant number of cases, respondents disagreed with the basic directions the Agency is taking.

The balance of this report is organized as follows. Section II describes the program and operating trends seen as most likely during the 1990s, based on the data available to us. Section III addresses the role of Agency personnel within the three technical areas in relation to these trends. Section IV sets out our conclusions and recommendations. A summary of Agency policy and strategy statements relating to the three sectors is contained in Annex A.

AID is organized and is operating under basic concepts and legislation established in 1961. Both the character of the world in which AID operates and the basis for AID's operations have changed significantly since 1961. The pace of this change has accelerated in recent years, and AID has not stood still during this period. Indeed its programs have evolved considerably and this is reflected in our data, which also establishes the likelihood that the pace of this evolution will quicken in the 1990s. However, AID's basic operating structure and style have not changed. The tension between a structure and style set up for one era and actions being taken to keep pace with rapid developments in a new era is placing increasing stress on Agency staff.

At present there is no well-articulated intellectual framework on which a consensus in support of foreign economic assistance can be developed. Nor is there a consensus on goals and direction between Congress and the Administration or among foreign aid constituent groups, as they compete for a slice of the declining aid budget and seek to pull the Agency and its program in various directions.

Over the years frustration with the limited results achieved through government-to-government assistance has grown. This has led to re-examinations of factors influencing how development occurs, and to greater emphasis on development assistance theory and strategy on the role of markets, competition, alternatives for popular participation, and the private sector.

Recently, the geopolitical foundations of U.S. foreign policy and its associated foreign assistance policy--the "super power" conflict--have also altered dramatically. This is both altering the criteria for foreign assistance allocations and broadening the range of qualifying countries.

International financial markets and trade have also grown in importance, the U.S. debt and trade deficits have worsened, and the U.S. economy has weakened. Other concerns, such as the global environment, terrorism, international drug trade, and developing country debt-servicing problems have claimed increasing importance.

The new Agency Administrator, Ronald W. Roskins, has begun the process of reshaping the Agency to respond to these new challenges and opportunities. An AID Mission Statement (Attachment 1 to Annex A) was issued in September 1990, which states AID's objectives and six guiding principies for the development and implementation of programs to accomplish them. A study

aimed at achieving greater operation efficiency is being undertaken of the Washington headquarters organization. A major work force planning initiative has been launched. We hope this report will make a contribution to these and other actions needed to help AID meet the challenges it faces in the 1990s.

SECTION II. NEW DIRECTIONS FOR AID IN THE 1990s

This section elaborates on some of the changes identified above that are influencing future AID programming directions. A discussion follows of the general program trends identified in our study as well as trends within the three technical sectors with which we are concerned, and their impacts on personnel structure and functions.

A. CHANGING DEVELOPMENT ENVIRONMENT

As AID enters the 1990s, the circumstances in which it operates are rapidly changing. Some of the most salient factors influencing these changes are:

1. End of the Cold War Era

The easing of cold war tensions is creating new international relationships. This in turn is forcing a reconsideration of much of the underlying basis for foreign assistance. Old security assistance rationales no longer apply. Some believe that even the former concepts of first, second, and third worlds are no longer applicable. Different criteria are determining which countries the United States assists and the character of the assistance we provide. Recent administrations have deemphasized humanitarian assistance rationales put forward by Congress and previous Democratic administrations, although these remain a part of the governing foreign assistance legislation. In these circumstances, and faced with mounting domestic economic and budgetary problems, it is difficult for Americans to comprehend the basis and rationale for supporting the foreign assistance program.

2. Rise of Global Financial Markets and Increased Economic Integration

In recent years the international capital market has grown to the point that it now dwarfs international trade and official economic assistance in terms of the dollar value of its flows. International financial flows are now approximately 20 times international trade flows and both have far more impact on developing countries than official economic assistance. Even relatively minor fluctuations in interest rates or certain commodity prices can have far more impact on a country's development prospects than government-to-government economic aid.

The international capital market provides a ready access to development financing for countries whose economic policies are efficient. In countries where economic policies are not efficient, many question whether concessional assistance can be an effective development instrument, unless it is used to leverage more rational policies. The effectiveness of attempts at such leveraging is still at issue.

However, international capital markets are not suitable for all kinds of investment. In very low-income countries, where capital rationing is likely to be severe, there may be no other alternative to government-to-government assistance for investments in human capital development, such as education, health, nutrition, research, and institutional development.

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3. Decline of U.S. Pre-eminence in International Aid

The ascendancy of European nations, Japan, and the Arab oil states as major donors is altering the U.S. position and style in international development. Increasingly, the United States is finding it more productive to seek to leverage greater amounts and influence the uses of other country financial inputs into programs and countries with which it is involved rather than to go its own way. The importance of global markets and the U.S. trade deficit have put pressure on AID to help increase U.S. exports. Some in AID are aware of potential competition between U.S. trade interests and economic development.

4. Rise of New National Security and Foreign Policy Concerns

Democratic pluralism, the AIDS epidemic, the international drug trade, and the concern for the global environment are some of the newer concerns that have arisen to challenge traditional development priorities. These concerns have in some cases also led to increased involvement by other U.S. government agencies in foreign assistance activities in ways that are not always well coordinated with AID.

5. Revised Thinking About How Economic Development Occurs and the Role of Foreign Assistance

Recognition of the importance of the private sector has led to a corollary recognition that government must change from being the doer or controller of development to enabling and facilitating action by others. This same sense is being carried over into relations between donors and recipients, in a call for more collaborative relationships.

B. EMERGING PROGRAM TRENDS

The program trends presented below, most of which are already well under way, were identified in our interviews and documentation review.

1. Continued Preference for Program Over Project Assistance

All four geographic bureaus expect program assistance to increase at the expense of project assistance during the 1990s. Program assistance is seen as both a more efficient and, potentially at least, more effective development tool. Program assistance correlates well with most of the other "new directions" identified. Few predict the total demise of project assistance, particularly in circumstances where a greater direct U.S. oversight of end use is deemed necessary, or to meet other special circumstances. Nonetheless, program assistance is expected to be the dominant mode in the 1990s.

Criticisms of the project assistance mode are that it is too structured, tends to lock in a prescribed course of action, takes too long to implement, focuses attention on inputs, and results in little impact.

Nonproject assistance for policy change programs, when developed properly, places greater responsibility for planning and implementing programs on host country entities. The requirement for technical assistance during the implementation process is not necessarily reduced, but providing such support through program rather than project assistance can be done in a more timely fashion and can be better tailored to problems as they are identified.

Program assistance is expected to have a greater impact than project assistance on host country development. Only time and experience, however, will tell whether this assumption turns out to be correct.

2. Emphasis on Policy Dialogue and Policy Change

The critical influence of host government policies on both the character and extent of economic development in lesser developed countries (LDCs) has become increasingly recognized and accepted. Moreover, host government policies are important to new corollary AID interests such as those in the environment and natural resources areas. Policy analysis and dialogue, with policy changes encouraged by program assistance, is viewed as an effective way of promoting development.

A successful policy reform program should have widespread benefits, but experience has shown that an unforeseen causal chain can lead to equally widespread harm. This implies a need for continuing analysis, not only of policy constraints, but also of the risks that undesired results might occur.

3. Emphasis on Private Sector Development

Increased emphasis on private sector development is predicted to continue into the 1990s. The superior economic performance of open market economies over government controlled economies has been well documented. The demise of the Soviet empire and the efforts of former Marxist states in Eastern Europe and elsewhere to make the transition to a market economy have essentially closed debate on which form is best for developing countries. Issues identified as still requiring clarification are how to make AID, still essentially a government-to-government assistance agency, most effective as a promoter of indigenous private enterprise; what forms of government and other institutions are essential to effective functioning of a private or mixed economy; and what the role of AID should be in assisting host governments to make the transition from an implementing to a facilitating role in their countries' economic development.

4. Wider Range of Countries Assisted

The end of the cold war era and the emergence of global environmental and natural resource conservation concerns is expected to expand the range of countries assisted as AID moves into the 1990s. Some countries not previously considered developing nations, and some developing countries not previously candidates for assistance, are or will become aid recipients. This is projected to place increasing pressure on the dwindling operating expense budget (see section below). It will also impact on the work force as the wider range of countries assisted will spread staff more thinly and increase the number and complexity of programs for which they are responsible.

5. Continuing Severe Operating Expense Account Constraint

For the past several years the Agency has been under a severe operating expense (OE) constraint, which is expected to continue into the 1990s. In general terms, AID's OE account pays for direct hire employees' salaries, offices, travel, overseas housing, and other costs attributed to their direct support. Even though the account has increased from about $300 million in 1982 to $500 million in 1990, the operating expenses have increased much more dramatically. The result has been severe limitations on direct hire staff levels, overseas placement and travel of staff, staff training and development, and provision of support equipment. This has made it increasingly difficult for direct hire technical staff to support field programs, interact with their professional colleagues, and keep up to date in their professional fields. Significant delegation to missions of authority over projects and programs has occurred, without a corresponding redefinition of the role and size of AID/W.

A result of OE constraints is that both field missions and AID/W have turned increasingly to the use of program funds, that is, those funds appropriated for direct development assistance purposes rather than expenses of operating the Agency, to hire contractors to perform program development and support activities, including some management activities previously performed by direct hire staff. There are two potentially damaging effects of this trend. First it means less program money goes directly to development assistance. Second, Agency direct hire staff are less directly involved in program design and implementation and more involved in arranging for others to do this work. Less direct involvement can translate into less effective oversight.

C. TRENDS WITHIN THE THREE TECHNICAL AREAS

1. Agriculture

The amount and/or value of activities in the agriculture sector will either remain the same or decline slightly. There will, however, be a reorientation of activities away from the traditional approach (research and extension, crop production) toward a systems approach focusing on agribusiness/agroindustry. The new approach will include developing nontraditional agricultural export products, and improving agricultural policies that promote sustainable agriculture (policies linking with environmental and natural resources issues).

Interest will continue in the areas of agricultural finance, technology development, and transfer and education, but these areas will attain lower priority than the above categories. Within these areas, emphasis will shift from support of public sector organizations (agricultural development banks, public and parastatal agricultural research and extension organizations) toward support of private sector alternatives.

There are likely to be varying strategies for provision of assistance according to the level of development in each country. In advanced LDCs (for instance, Thailand), assistance will be provided in areas such as international property rights, international agricultural trade strategies, and the establishment of technology transfer linkages through international investment. Work in middle income LDCs (much of Latin America) with established institutions will include a mix of nonproject assistance for policy reform with project-specific assistance in areas such as agribusiness development for both domestic and export markets, including greater effort on capital markets development and

post-farmgate processing and marketing. Nonproject assistance will also be used in many least-developed countries to induce economic and administrative reform, but programs in these countries will also include project or project-like assistance activities to help overcome bottlenecks in carrying out reforms and to develop or strengthen weak or nonexistent institutions. Since these countries are generally deficit in food supply, assistance will also concentrate on increasing staple food production through improved pricing and investment in agriculture.

These trends were identified through responses to our survey and interviews. They are not fully apparent within the extant agriculture policy and strategy statements (see Annex A), which are now somewhat out of date. The strategies in existence or under development in the regional bureaus are more narrowly focused than the overall Agency strategy. There are some apparent inconsistencies between the trends we identified and actual Agency guidance. For example, we identified a trend away from research, at least of a traditional character, although a recent Agency guidance message on sustainable agriculture, identified as a high priority for the 1990s (State 039211 Feb 90), cites a long-term research commitment as necessary to understand the biophysical, socioeconomic, policy and institutional components of sustainable agricultural development. This inconsistency is probably more apparent than real, since there will always be exceptions and the trend we identified is for a general lessening of support to development of public agricultural support institutions in favor of more particular private sector priorities. Nonetheless, action is needed to reconcile basic agriculture policy and strategy guidance with future trends.

Some Agency agriculture technical personnel take strong exception to the trends we have identified. They feel movement away from involvement in traditional research and education programs will result in a lessening of program effectiveness. Some also feel that food shortages in developing countries in the 1990s could lead to substantial increases in Agency commitments in the agriculture sector.

2. Environment and Natural Resources

There is increasing social preoccupation with environmental degradation and increased popular pressure for greater investment in improvement and maintenance of environmental quality and improved natural resources management. Environmental and natural resources conservation concerns have come on center stage, with strong external pressure groups successfully encouraging Congress to earmark foreign assistance appropriations for these areas. As a consequence, significantly more of AID's resources will be devoted to these areas.

Commitment ENR programming has also developed within AID, and the Agency has now had a decade of experience with natural resources management interventions, including projects in forestry, soil conservation, watershed management, country-level analyses of ENR problems, conservation of biological resources, resource inventories, coastal resources management, water quality, land-use planning, environmental education, renewable energy, energy efficiency, and energy planning. In recent years, the Agency has exceeded the levels of Congressional earmarks for ENR activities, such that the level of programming for ENR activities together (as measured by commitment of funds) is likely to soon equal agricultural programming (see Table II-1).

TABLE II-1

TOTAL AGENCY PLANNED EXPENDITURES BY SUBJECT MATTER AREAS FY'90-FY'92 (IN $1,000) *

	FY 1990	%	FY 1991	%	FY 1992	%
Private Sector Development	745,684	21.5	688,138	21.0	782,060	22.9
Agriculture and Rural Dev.	434,502	12.5	458,781	14.0	519,551	15.2
Other Activities	434,144	12.5	343,691	10.5	222,802	6.5
Education and Human Res. Dev.	332,818	9.6	361,228	11.0	366,904	10.7
Population	265,125	7.7	251,495	7.7	293,895	8.6
Health	255,920	7.4	256,245	7.8	262,443	7.7
Environment	250,578	7.2	181,797	5.5	217,850	6.4
Infrastructure Development	240,523	6.9	160,809	4.9	166,501	4.9
Energy	202,830	5.9	219,678	6.7	226,317	6.6
Natural Resource Development	107,695	3.1	147,343	4.5	134,707	3.9
Human Rights and Governance	96,916	2.8	105,016	3.2	107,219	3.1
AIDS	48,828	1.4	52,204	1.6	54,302	1.6
Child Survival	33,210	1.0	36,605	1.1	42,991	1.3
Nutrition	15,645	0.5	13,578	0.4	20,573	0.6
TOTAL	3,464,418	100%	3,276,608	100%	3,418,115	100%

SOURCE: PPC'S Activity Code/ Special Interest Code System

* For purposes of this classification, funding levels include projects/programs where the technical area cited predominates, though each project/program may include activities in one or more of the other technical areas. There is no double counting.

AID's "Initiative on the Environment" begins the process of improving ENR programming by specifying the areas on which ENR programming should focus. Environmental policy and economics and the strengthening of environmental institutions will be major ENR programming areas for all four regions. Within the regions, priority problem areas will be similar to those of the past decade, except that pollution control and sustainable agriculture will likely take a larger share of ENR programming.

The increase in sustainable agriculture programming will provide an impetus to bring Agency activities in the agriculture and environment/natural resources areas into closer interrelationship. It is also indicative of a growing interest within the Agency in the role of ENR as a cross-cutting issue in other areas of development. Environment and health, natural resources planning and industrial development, environmental education, and other interactions between ENR and longer-established development assistance areas will be recognized and promoted for AID programming.

The emphasis on improving host countries' ENR policies, coupled with concern that AID should promote adaptation and commercialization of U.S. technologies, seems likely to lead to a greater focus of ENR programming on "brown end" issues--monitoring air and water quality, controlling pollution, treating and disposing wastes, and developing cleaner energy sources. Certainly these will be major ENR programming areas for Eastern Europe; they will probably also gain increasing AID attention in other regions.

3. Rural Development

During the 1970s and 1980s rural development came to be synonymous with large-scale area development and integrated rural development projects that combined several sectoral activities within a geographically bounded program. This conception of rural development persists today and was clearly what most respondents had in mind when stating that rural development would receive considerably less attention than it had previously received. Such projects are now viewed as unfocused and difficult and expensive to implement, and past implementation attempts are largely viewed as unsuccessful.

However, in recent years a different approach to rural development has emerged that incorporates the concepts of decentralization through local government development, and democratic pluralism through institution strengthening. Institutional development, land-tenure issues, rural-urban linkages, and micro- and small-scale enterprise development are other activities associated with rural development that were identified as being of continuing priority.

Also, rural development objectives, as reflected in the program of the Bureau of Science and Technology (S&T) Office of Rural and Institutional Development, frequently translate into support of programs in other sectors in terms of the interfaces between rural populations and the program activities in other sectors, for example, sustainable agriculture, agro-forestry, fragile lands, and rural enterprise development. Interfacing between the sectors is likely to continue, so that rural development will be seen less as an undertaking unto itself and more as an important supporting element of other Agency priorities.

Some of these concerns and activities are not necessarily limited to rural areas and are more appropriately referred to as the political, social, and institutional aspects of development. Hence,

rural development may no longer be an appropriate term which may also explain why most of our respondents saw rural development declining even though they identified rural development activities as a continuing priority in the 1990s.

D. MECHANICS OF RESOURCE TRANSFER

Due to declining real foreign assistance resource levels, Congressional unwillingness to increase OE funds, and increasing costs associated with maintaining U.S. staff abroad, the number of AID missions as we now know them will likely decline. However, the global AID presence, in terms of numbers of countries served, will almost assuredly increase, due primarily to the opening up of AID assistance to former Soviet bloc countries and to more advanced LDCs. It is likely that many of these countries will have offices rather than missions and that some of the smaller missions will become offices, with mission-type functions regionalized and serving the smaller country offices. It appears that there will also be missions located in AID/W for Eastern Europe, with broad-scope technical assistance provided with limited U.S. field supervision though expanded indefinite quantity contracting mechanisms.

The limitation on operating expenses means smaller missions everywhere, and therefore smaller direct hire technical staffs. A larger proportion of overseas direct hire technical staffs will be host country nationals. Contractors, private voluntary organizations (PVOs), and nongovernmental organizations (NGOs), which can be employed using program funds, will also play an increasingly prominent role in both the provision of specific technical assistance and in project/program management. The increased use of nonproject assistance may also cause some decline in the need for direct hire mission staff, although this is not entirely clear.

A counterargument is that technical staff will still be needed to maintain the pace of policy dialogue and subsequent reform. While there have been suggestions of centralization of most technical staff in AID/W for cost/coverage reasons, there continues to be a need and strong desire to maintain technical people in the field to reduce response times, possess intimate awareness of impending issues, and oversee policy analysis and conduct policy dialogue. All these are seen as important elements to a credible field presence.

E. REGIONAL DIFFERENCES

We did not find regional differences in program character to be as strong as some felt they would be. Differences we detected are more a matter of degree rather than absolute differences in program emphases. For example, the Europe and Near East (ENE) and Asia and Private Enterprise (APRE) bureaus are the most heavily private sector oriented, but the Latin America and Caribbean (LAC) and Africa (AFR) bureaus are also moving strongly in this direction. ENE seems least focused on the agriculture, rural development, and environment/natural resources areas, presumably due to the predominant characteristics of the countries in its region. The AFR and LAC bureaus reflect the strongest future focus on environmental and natural resources concerns, although the former Asia/Near East (ANE) Bureau has the highest levels of program expenditures in these areas (which may be simply a reflection of the proportionately larger size of the former ANE budget). Paradoxically, the APRE and ENE bureaus are the least interested in rural development, even though

the largest percentage of Foreign Service direct hire rural development technicians are assigned in countries within their regions.

Overall, it is apparent that differing stages and levels of development of individual countries are more significant determinants of the character of the development assistance program than is regional location.

SECTION III. ROLES OF AGRICULTURE, RURAL DEVELOPMENT, AND ENVIRONMENT/NATURAL RESOURCES PERSONNEL

A. CHANGING COMPOSITION OF THE AGENCY WORK FORCE

There has been a significant shift in the composition of the Agency's work force over the past decade. As reflected in Table III-1 below, the number of direct hire U.S. agriculture positions declined 22 percent between 1981 and 1989. The number of rural development positions declined 49 percent. Natural resources and environment management is essentially level and remained a relatively small part of the total. By comparison, positions in business and industry increased 49 percent, reflecting the greater emphasis on private sector development. There were also significant increases in the financial management and audit/inspection categories (presumably reflecting the Agency's continuing problems with accountability), and a major decrease in the engineering cadre (presumably reflecting the movement away from infrastructure projects).

TABLE III-1
CHANGES IN SELECTED CATEGORIES OF AID DIRECT HIRE

Change in Numbers of Selected Direct Hire Positions in AID
from 1981 to 1985 and from 1985 to 1989

				Percent Change	
	1981	1985	1989	1981 to 1985	1985 to 1989
Business	61	68	101	11%	49%
Audit/Inspection	153	131	173	-14%	32%
Financial Management	209	196	255	-6%	30%
Education	86	80	92	-7%	15%
Environment/Natural Resources		11	12		9%
Health/Medical/Pop	145	127	133	-12%	5%
Secretarial/Clerical	506	371	384	-27%	4%
Executive Personnel	164	189	195	15%	3%
Program Analysis (*)	614	350	359	-43%	0%
Housing/Urban/Community Development	85	42	42	-51%	0%
Agriculture	262	226	206	-14%	-9%
Capital Development (*)	190	213	190	12%	-11%
Rural Development	43	32	22	-26%	-31%
Engineering	110	67	44	-39%	-34%

(*) Figures for 1981 and 1989 columns are from 1980 and 1990, respectively.

The most dramatic shift in work force composition has been between direct hire and nondirect hire personnel, with the former decreasing and the latter increasing substantially in recent years. Graph III-1 depicts Agency employment in these two categories between 1961 and 1988. It shows that Agency employment in both categories peaked in 1968 and then declined rapidly until 1975. At that point direct hire employment continued to decrease but nondirect hire employment began to rise and accelerated rapidly after 1985.

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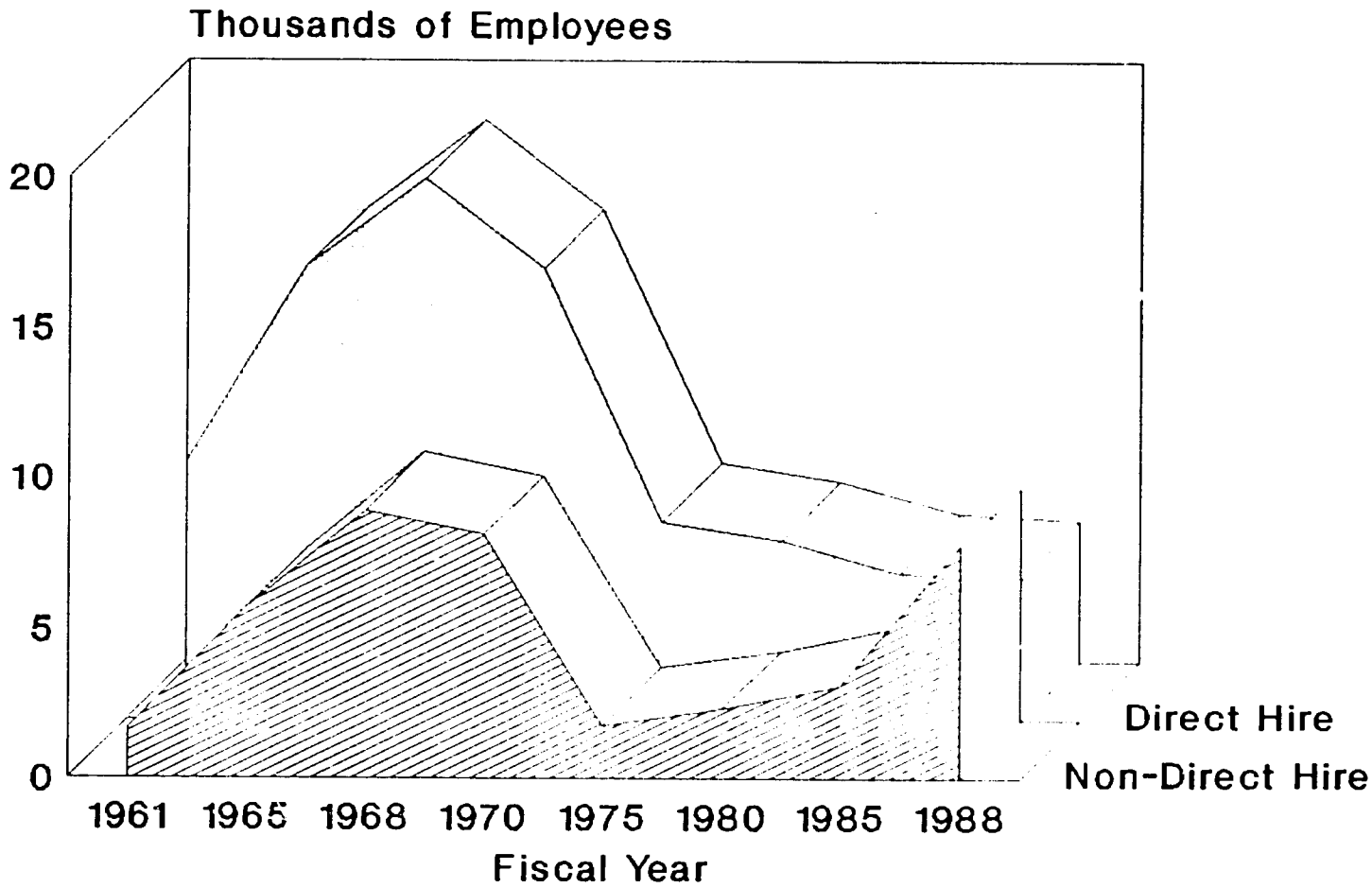
Agency Employment
1961 - 1988



GRAPH III-1

This change is further depicted in Graphs III-2, III-3, and III-4, showing AID employment patterns between fiscal years 1985 and 1989. From these it can be seen that the biggest change has been in foreign national direct versus nondirect employment, but that the change in U.S. employees as between direct and nondirect hire has also been substantial. Chart III-1 shows relative percentages of employees in each category for the two time periods. We presume that a significant portion of the change in foreign national employment may represent the shifting of FSNs to contract status.

The percentage of decline in U.S. direct hire staff was not off-set by a similar increase in U.S. nondirect hire personnel, reflecting that more of the Agency's work in developing countries is being performed by the foreign national component of the work force. Chart III-2, depicting Agency work force as between AID/W and overseas employees, shows however that the bulk of the nondirect hire work force, both U.S. and foreign, is working overseas.

Unfortunately, we were not able to obtain a breakdown of these data indicating the extent to which they represent technical or program versus administrative support personnel. However, Chart III-3 depicting staff composition in relative percentages in 1981 and 1988 shows no dramatic changes among these categories.

B. CHANGES IN ROLES OF AGENCY TECHNICAL PERSONNEL

AID technical personnel have historically had three major roles: to provide technical advice to host country and AID leadership; to develop program policy and strategies relevant to their technical sector; and to accomplish the conceptualization, design, and implementation of assistance programs and projects within their technical sector.

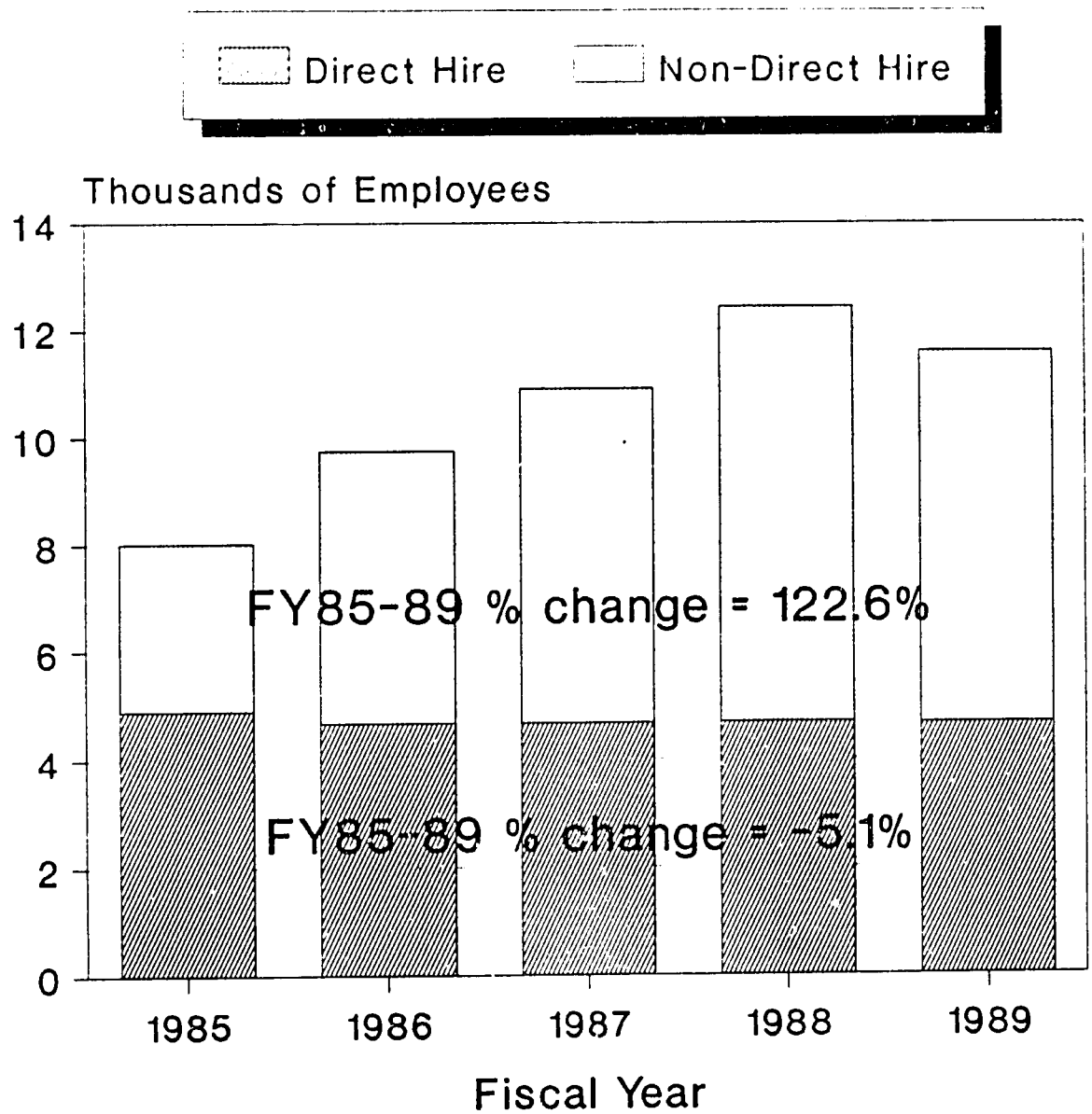
Our analysis indicates that direct hire technical personnel in these technical areas will be increasingly preoccupied with policy and strategic concerns while assistance to host countries and much of the support to host country programs and projects will be performed by contractors or other intermediaries under the guidance of direct hire staff.

The work of the direct hire technical officer will continue to evolve away from dealing with specific technical issues and tasks toward conceptualizing and managing a complex, integrated process. Emphasis will be on analysis, strategy formulation, planning, and problem solving. Ability to negotiate and broker development activities, marshall outside resources, and facilitate their application to resolving problems will be highly valued.

Activities will include developing sector and subsector strategies, leveraging resources of other donors, negotiating agreements with host country officials, developing terms of reference, and fielding and overseeing contracted technical assistance. Subject and sectoral priorities will change over time, and the technical officer will need an understanding of the rationale for such changes as well as the ability to adjust to changing circumstances. He will also need to be able to relate activities within his sector to broader country and development program priorities.

GRAPH III-2

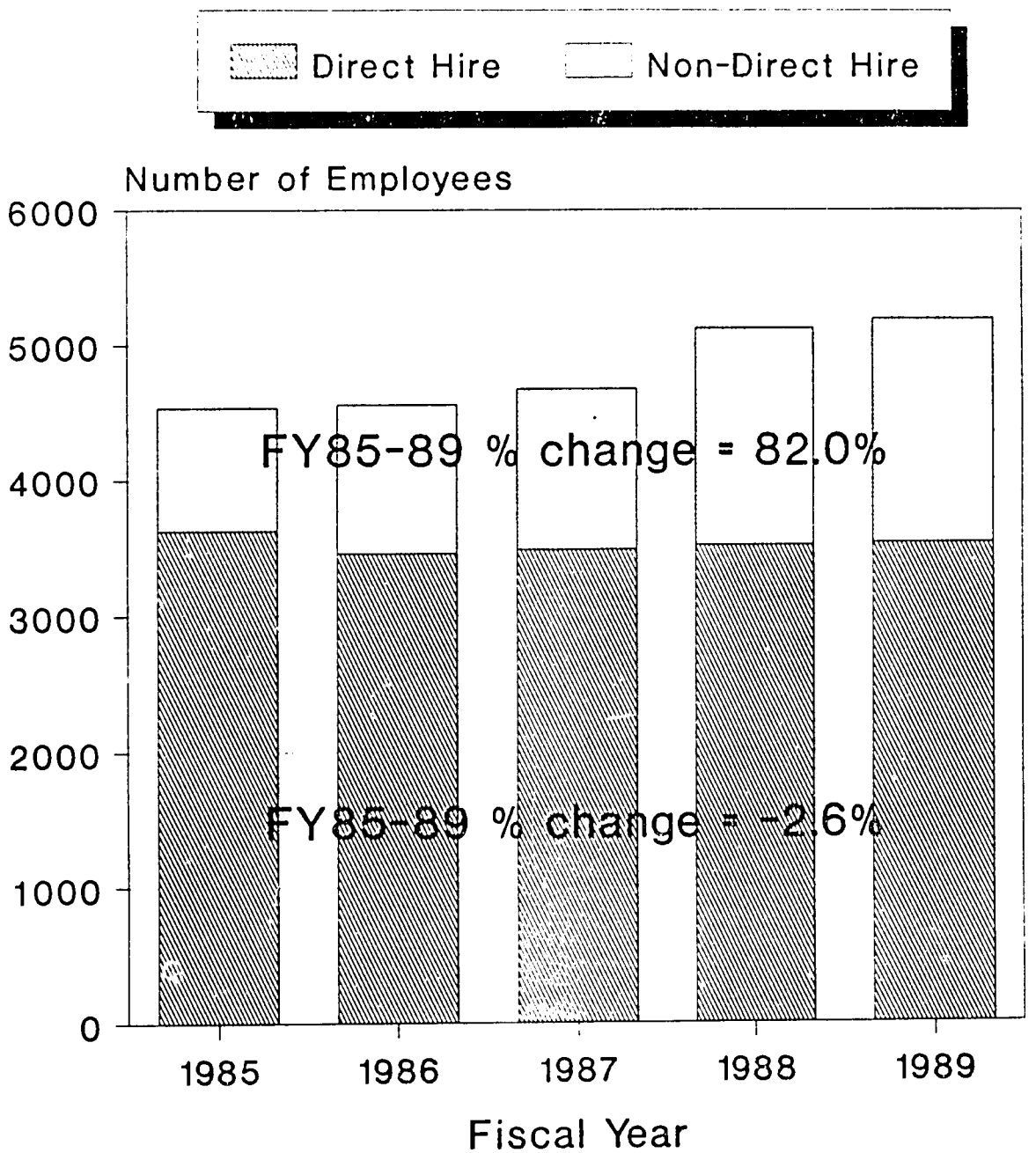
A.I.D. Employment Patterns
Total Worldwide



REF: EMPTOTAL

GRAPH III-3

A.I.D. Employment Patterns
Total U.S. Nationals



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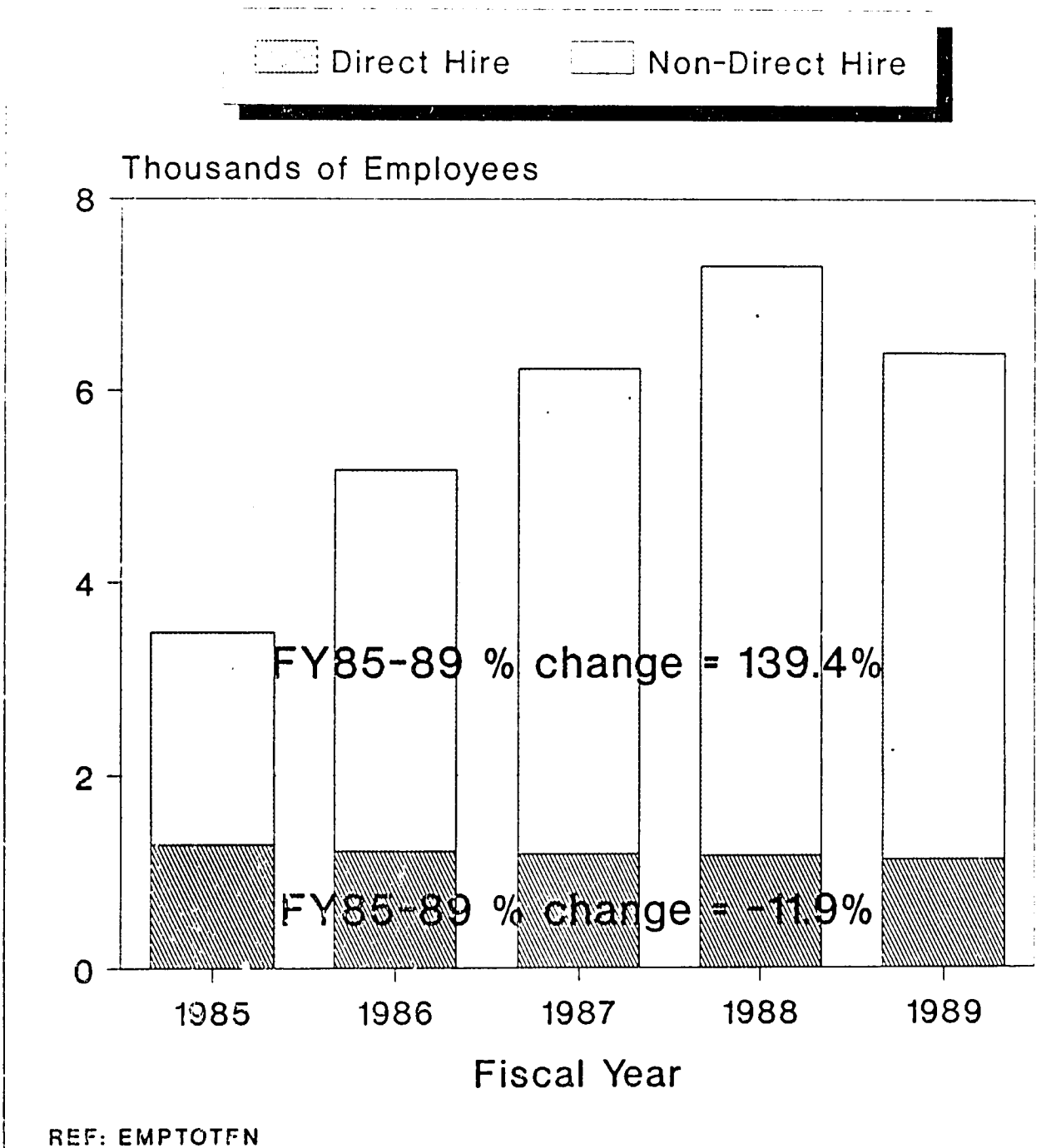
GRAPH III-4

A.I.D. Employment Patterns
Total Foreign Nationals



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AID O'Seas Employment

Direct Hire & Non-Direct Hire - Composition of On-Board Employment

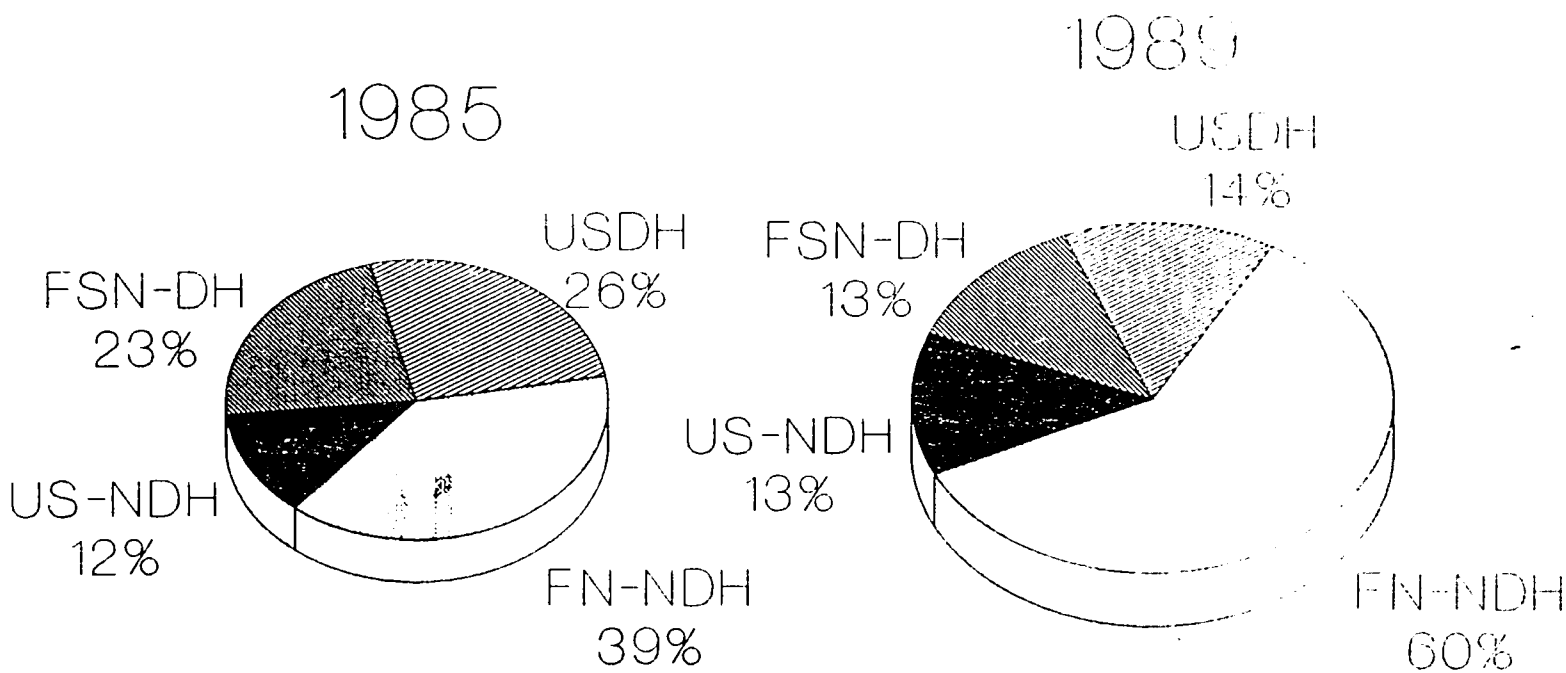

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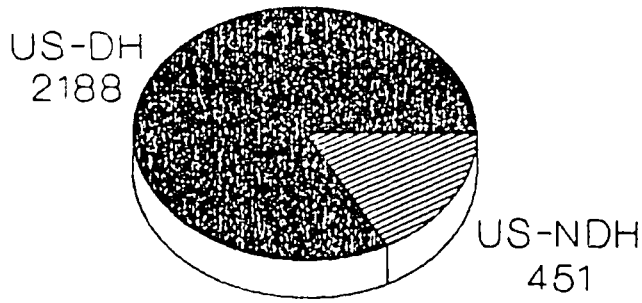
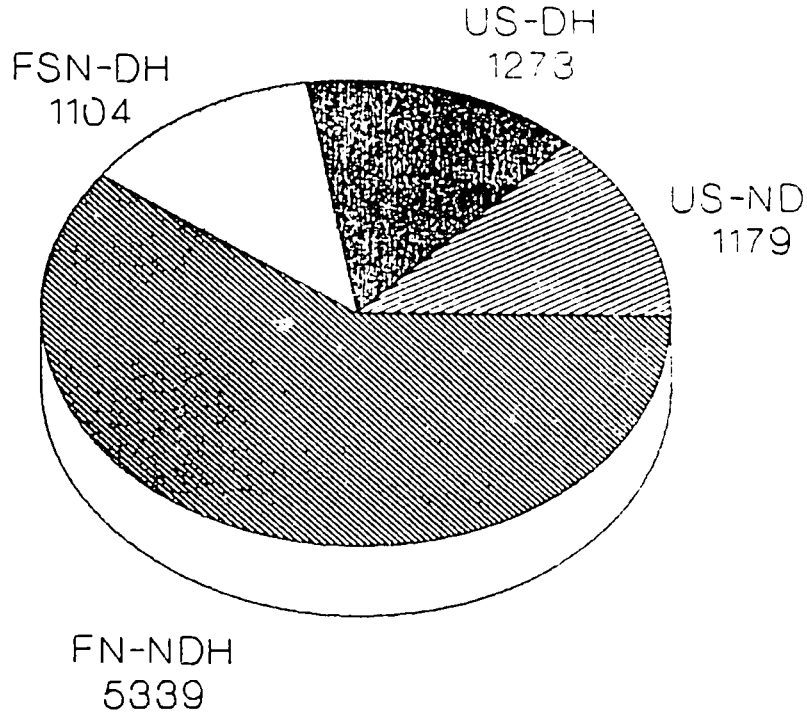
CHART III-1

Agency Workforce
AID/W and Overseas Employees



AID/W Workforce



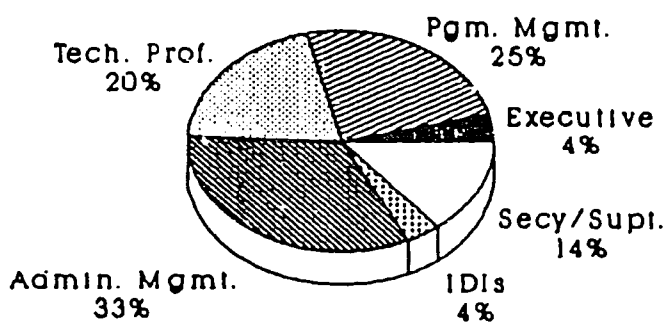
Overseas Workforce

PFM/PM Data; includes Complement Staff

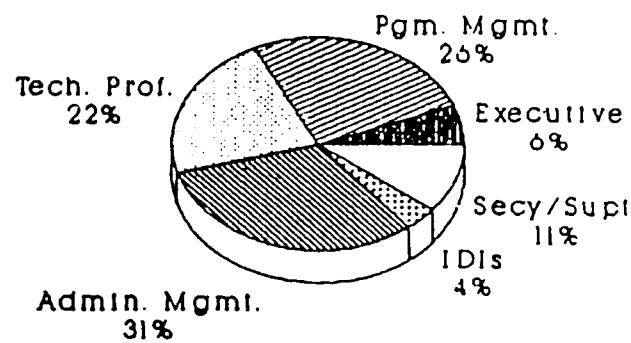
As of Jun 30, 1990

CHART III-2

A.I.D. Staff Composition
1981 -1988



1981



1988

CHART III-3

Thus the role of AID direct hire technical personnel is shifting rapidly from one of doing to one of conceptualizing, managing, overseeing, coordinating, and facilitating technical functions performed by others. While the requirement for technical knowledge remains, its use and type is changing and new corollary aptitudes and skills of equal or greater importance to effective performance are emerging.

There is an expectation, at times clearly stated by our respondents and at other times inferred, that direct hire technical staff will have a grounding in one or more technical specialties within his/her area as a primary initial requirement. However the majority of our respondents felt that the further a technical officer progressed within the Agency, the more specific technical knowledge gave way to analytical, strategizing, management, and other capabilities for effectively accomplishing assigned responsibilities.

Increased reliance on nonproject assistance will probably not reduce Agency personnel requirements significantly. At the sectoral level, there will be a need for personnel with strong technical credibility with high-level host country counterparts to negotiate program design. Once programs are under way, technical personnel will be needed to monitor policy changes, both for performance and conditional releases of funds, and to catch unforeseen and undesired impacts early and help devise needed adjustments.

We find it difficult to differentiate the roles of U.S. and FSN direct hire technical personnel in the future. Subject to legal limitations, it seems likely that the latter will increasingly take the place of U.S. personnel in many instances. They, along with contractors, will also take increasing responsibility for project management.

A major challenge for the Agency lies in realigning roles and responsibilities so that direct hire technical staff are better able to perform the analytical, strategy formulation, management, coordination, and facilitation roles identified as their most important functions. Direct hire technical personnel reductions, combined with increased administrative workloads, have resulted in many technical personnel being poorly used. Time spent on extraneous or "paperwork" requirements detracts from their ability to interact with host country counterparts, become thoroughly familiar with problems and opportunities in their sectors, and conduct the analysis necessary to ensure that programs and projects are on track and achieving the impacts anticipated.

Some respondents noted the time-driven nature of AID's programming cycle makes it difficult to engage in sufficient analysis or to explore alternatives in more than a cursory fashion.

This view was confirmed by a recent assessment of project design efforts that found such efforts are frequently done in too short a timeframe, resulting in poor conceptualization, inadequate analysis, and unrealistic objectives.

C. SKILL AND KNOWLEDGE REQUIREMENTS

To establish skill and knowledge requirements at various levels of seniority and experience, we developed four prototypical positions in consultation with the tri-sector ad hoc personnel subcommittee. These were judged to be representative of the most common Foreign Service

technical officer position levels within the three technical sectors (GS technical positions are discussed separately below).

The four prototypes are:

1. Staff technical officer (project manager), an entry-level or junior officer;

2. Mid-level officer;

3. Broad-gauge senior technical officer in a small mission; and

4. Chief of a large technical office.

We asked in our interviews and questionnaire survey that respondents identify the combination of technical knowledge and general skills for technical officers in the three areas (agriculture, rural development, and environment and natural resources) should have in the 1990s.

Our respondents did not differentiate greatly the knowledge and skill requirements for the four positions, except as to breadth and depth required at each level. Natural resources management, agribusiness, agroindustry development, and agriculture or natural resources economics were the most commonly identified technical knowledge requirements for all four positions. Other important areas identified were technology development and transfer, institutional development, trade, finance and business administration.

The principal general skill desired in future AID technical officers is management ability. This is entirely consistent with the view expressed above that the role of the technical officer will continue to shift away from performing technical duties toward managing the overall process. Other important skills include analytical, strategic planning, interpersonal, negotiating, and leadership abilities. Important skills also include the ability to synthesize large amounts of data and information and effectively communicate the results to others, both verbally and in written form.

While the above discussion is true for all technical positions mentioned, skill requirements and relative emphases shift as one moves from junior to senior levels.

The **staff technical officer** position is viewed as the level at which the Agency can afford technical specialization and as the point at which to bring in fresh technical skills in areas of emerging priority. Analytical and management skills are highly important even at this level and the individual's knowledge should be broad enough to include the ability to sort data, detect trends, and clearly present ideas for review.

The **mid-level technical officer** is viewed as tomorrow's leader and should have the potential to deal with policy, program planning, and leveraging other donor resources. In addition to a thorough grounding in a relevant technical discipline, he/she must have good organizational skills and the ability to communicate directions for designing, implementing, and evaluating interventions, and will also be required to do strategy-level analysis and manage contractors. A good background in economics is deemed important.

The **broad-gauge senior officer** is seen as the prototype for smaller missions of the future. He/she is viewed as needing the same skills and background as the chief of a large technical office, and should have the capacity to work on broad sectoral issues. He/she will need expertise in communicating technical options and approaches to senior decision makers and must have a greater awareness and concern for environmental impacts and development sustainability.

The **chief of a large technical office** must have a credible technical background and field experience. However, at this level technical knowledge is seen as less important than leadership, interpersonal and planning/management skills, and the ability to negotiate, lead indirectly, motivate, and delegate.

D. IMPLICATIONS FOR FIELD STAFFING

There are strong arguments for keeping a direct hire field presence whenever possible. This has long been recognized by the donor community and by host countries as a strength of the AID program.

The majority of those surveyed, including a preponderance of senior managers in the field and in AID/W, believe a career cadre of direct hire technical personnel is essential. The most common reasons cited were the need to retain technical credibility with host country officials and other parties, ensure the technical relevance and quality of Agency programming, and acquire, guide, and interpret the activities of contracted technical expertise. Contrary to conventional wisdom, senior technical officers along with mission directors--not program people--do most of the policy dialogue and orchestrate policy reform assistance efforts within host countries, particularly at the sectoral level.

To facilitate contact with host country leaders, program intermediaries, and other donors, broad-gauge resident technical experts who are knowledgeable within the sector concerned and able to represent U.S. government interests will be needed in missions where major support is provided.

However, the clear implication of our investigation is that, with a few exceptions such as Egypt and a few other countries with large development assistance programs, the direct hire field staffs of AID's overseas missions will be severely limited. This is reflected in the following comment from a field ARDO:

> "I see the Agency continuing the trend of the last half of the '70s and all of the '80s of further shrinkage of personnel. To me that means we need more people who are broad gauged and can no longer think about three technical specialties within the BS 10 area. I can't overemphasize this point. For some time we have been contracting out almost all of the technical work of the Agency. As managers of this process, we need some technical background, we need to be able to understand what contractors are recommending and we need to be able to make judgements about this information in order to give overall direction to the program. The one area we most often need to be able to do it ourselves is policy dialogue. Even here, we don't have to be able to do sophisticated analyses (these can be contracted out), but we have to be able to understand and present persuasive arguments to ministers and others."

Thus the weight of evidence suggests that there will be a new type of direct hire Foreign Service technical generalist who will be responsible for conceptualizing and directing AID field mission interventions in his sector. While the exact scope of the individual officer's responsibility will depend upon the size of the direct hire technical staff at each mission, the range of duties will be relatively uniform across missions and would include:

- Developing a broad and thorough knowledge of each sector and its relationship to other elements of the economy;
- Conceptualizing a strategy for AID interventions within the sector;
- Managing the preparation of AID documentation to obtain resources for the proposed strategy;
- Negotiating the overall program with host country counterparts, including relevant policy reforms;
- Defining and selecting appropriate local and external technical expertise;
- Managing the utilization of technical advisory services to ensure performance quality and compliance with agreed-upon scopes of work;
- Interacting continuously with a broad range of host country counterparts and making frequent field visits to identify problems and opportunities within the sector and to assess the impacts of AID's sectoral programs;
- Coordinating closely with other donors to ensure program complementarity and leverage additional resources to support sector program objectives; and
- Ensuring that program impact is properly evaluated and reported to AID/Washington and the U.S. Congress.

The extent of an individual officer's responsibility will depend upon the size of the direct hire staff assigned to the sectoral program in each field mission. We believe the trend toward consolidation of the management of agriculture, rural development, and environment/natural resources programs out of one mission office will continue, and that the size of the direct hire work force will continue to decline. However, there will continue to be a limited number of missions with two or more direct hire AGR/RD/ENR officers. In such cases, there will be a division of responsibility, with the office chief providing overall direction to the program and subordinate officers given responsibility for discrete elements of the office portfolio.

In many missions, there will be only one direct hire AGR/RD/ENR officer. The overall set of responsibilities will be the same for both the one-person direct hire and multi-person operations, the difference being in the level of program resources. In all cases, direct hire officers will have to rely on a mix of FSNs and contract staff to assist in carrying out sectoral programs. A direct hire officer's primary responsibilities will be the overall conceptualization and direction of the program,

as well as the negotiation and interaction with key host country actors in both public and private sectors.

As previously noted, AID is also likely to become increasingly involved with more advanced countries in the 1990s. This will allow a continued AID involvement in selected development problems, but at a greatly reduced level of personnel requirement. A major concern will be establishing and maintaining ties with U.S. sources of expertise and technology, as well as promoting increased linkages through international trade and investment. In such circumstances, it will make sense to have a senior-level direct hire technical officer as part of a core AID staff, or perhaps available from a regional or subregional base.

E. IMPLICATIONS FOR AID/W STAFFING

Clearly, given the work force trends identified above, the Agency cannot continue to operate a large number of adequately staffed field missions, even at reduced levels, as well as its presently organized and staffed regional and central bureaus. Changes are inevitable. Consolidating Washington-based functions offers an alternative for freeing up technical personnel to staff field missions and perform functions of a less-administrative and more-substantive character. The current system of country backstopping is undertaken by several bureaus and includes desk, project development, and technical officers, all heavily involved in largely administrative functions. Clearly, a re-examination, and eventual reduction, of AID/W roles and responsibilities is in order, moving toward staff reduction, new organization, and away from administrative functions. We understand studies toward this end are already under way.

Another alternative we recommend be examined is contracting out administrative functions, if this would result in significant cost reductions. This would facilitate maintaining adequate direct hire technical staff for AID/W and field program development and management functions.

There are two alternate programming approaches associated with an AID/W technical staff reorganization, which might also be considered to ensure most-effective application of the Agency's technical capability. One approach is to group countries according to development levels rather than region for analytical and programming purposes--for example, into least-developed, less-developed, advanced-developed, and transitional categories. This could facilitate programming and permit more-efficient application of required technical support, since the problems encountered and character of assistance needed are likely to be more relatable among countries at similar development levels, regardless of their geographic location.

The second is to apply resources more directly to major problems rather than diffuse them in either broadly conceived country or sector development assistance or disparate small projects in a wide variety of countries. Regional bureau technical offices can form problem-centered task forces to deal with substantive issues of interest to the field. This approach permits concentrating human and financial resources to maximize impact on major priority problems. Such approaches may be more in keeping with the scale of resources available and the kinds of pressures that are increasingly driving the U.S. foreign assistance program, as, for example, in the environment/natural resources field where Congress has earmarked funds for problems such as global warming and maintaining biodiversity. Another example is the health sector concentrations on child survival and the AIDS

epidemic. The Agency may eventually be forced to more often take an approach that responds to major priority problems, to demonstrate greater impact from its programs.

Problem-centered approaches frequently require, or are facilitated by, multidisciplinary responses. Problems in the environment/natural resources area are a case in point. Many such problems impinge on other sectors, and solutions require the application of technical expertise across a variety of disciplines. The present placement and orientation of AID's technical staff, particularly in AID/W, is not conducive to their use in this fashion. This is in part mitigated by the more extensive use of contractors and other intermediaries, who often bring a multidisciplinary team effort to bear in AID programs. But placement of more of AID/W technical resources into an organizational setting that facilitates opportunities for problem-focused, cross-sectoral, and multidisciplinary interaction could be beneficial to both AID's program performance and technical personnel career enhancement and job satisfaction.

Recognizing the practical size limitations of field missions, and their inability to have a full spectrum of technical talent on their direct hire staffs, there is an increased need for a strong cadre of Washington-based direct hire technical staff, thoroughly grounded and current in agriculture and environment/natural resources, to provide technical advice, program and project design support, and other technical backstopping to field staff. This Washington-based cadre would also oversee the Agency's research program and interact with the U.S. and international technical community. This technical backstopping and maintenance of contact with sources of technical expertise is deemed essential given the technical content of the Agency's programs in agriculture and environment and natural resources.

F. EXISTING AGENCY TECHNICAL PERSONNEL RESOURCE BASE

Within the existing AID personnel database, knowledge and skills of technical staff are indicated by the topics of their college degrees and their occupational specialties. Occupational specialties are determined for AID direct hire staff according to education and experience at the time of employment. Further training and experience may change an officer's capabilities and personal goals, and it is possible to change specialties. However, most technical officers keep their original specialty and throughout their careers are assigned to various positions designated for that expertise.

Occupational specialties are grouped into categories designated by "backstop" numbers. Thus, AID technical officers working in agriculture are in Backstop 10. There is less consistency in the other two categories with which we are concerned. Some ENR specialists are in Backstop 10, others are in Backstops 30 and 75. RD officers are in Backstops 75, 14, and 20.

Other anomalies exist in the backstop system. For example, according to our data there are three officers with degrees in natural resources management in the Agency, but none are presently assigned to positions designated with this backstop. Migration of technical personnel into other technical areas and into nontechnical positions makes it difficult to use the backstop data system for work force planning purposes. Other factors are cited below in section G.

AID's personnel databases include information on each individual's occupational specialties, backstop category, college degree topics, and training since joining the Agency. From these data

inferences can be drawn about personnel identified in the various occupational categories. The data that follow are taken from tables compiled for us by the AID personnel office. Some composite information is presented in Chart III-4 and Graphs III-5 and III-6.

1. Agriculture

Agriculture development officers (Backstop 10) have college educations focused mainly on agricultural economics, agronomy, general agriculture, and livestock-related studies. There is a total of 210, of which 182 are Foreign Service officers and 28 are Civil Service. Of the 182 Foreign Service officers, 135 (74 percent) are assigned overseas, 31 (17 percent) are assigned to Washington, and the remaining 16 (9 percent) are assigned to various Washington complements. Most have language proficiency at the S-2 level or above in French, Spanish, Portuguese, or Arabic.

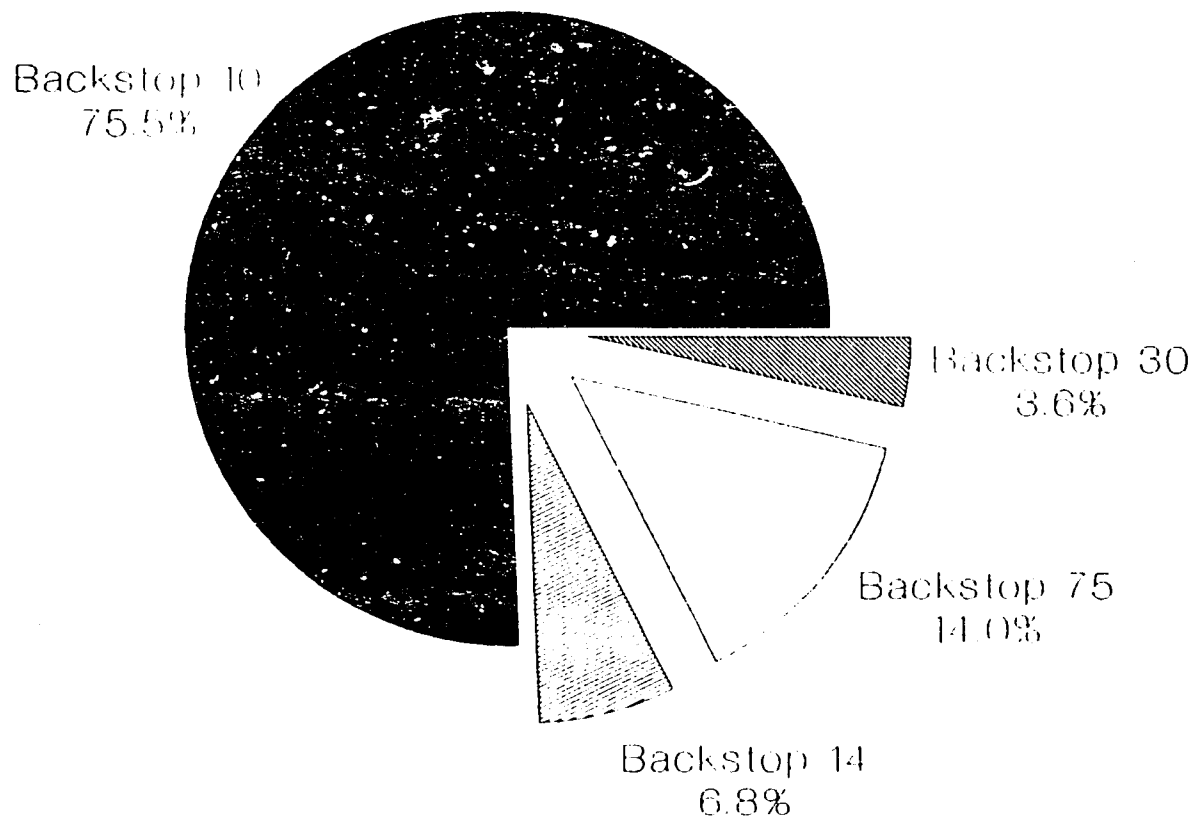
Within the Civil Service agriculture cadre, 79 percent (22 of 28) have less than 15 years of service with AID, and only 2 have more than 20 years. Yet 19 of the 28 are 46 years of age and older and 10 of these 19 are 56 years and older. Thus the Agency's Civil Service agriculture technical cadre consists largely of seasoned professionals, most of whom have potentially a number of years of service left. These people are all Washington based. Nineteen are employed in the Bureau for Science and Technology where they are responsible for managing the Agency's agricultural research program. These functions require a high degree of specialized technical knowledge. Three are with the office of the Science Adviser, and three are on the BIFAD staff. Three are in regional bureaus. They range in grade from AD-18 to GS-12, with most at the GS 14-15 level.

Within the Foreign Service agricultural cadre, 79 percent (146 of 182) are under 50 years of age, but 52 percent are over 46 years of age. Staff composing a large bloc (111) are clustered between ages 41 and 50, and 37 are between the ages 51 and 65. Only 18 percent (34 of 182) are under 40 years of age.

Sixty percent of FS agricultural staff have served with AID for 15 years or less, but 39 percent are clustered between 11 and 15 years of service. Of the 40 percent who have over 16 years service, only 16 percent have between 21 and 30 years of service.

Thus it can be seen that the U.S. Foreign Service direct hire agricultural technical cadre of the Agency represents a homogeneous group in terms of age, grade, and years of service with the Agency. These staff are heavily clustered in grades FS 1-3. It is not possible to establish from the data available the degree to which they possess the combination of technical knowledge and general skills identified as most likely to be in demand in the 1990s. A more detailed investigation of individual training and job experience would be necessary to establish this. We can note, however, that most came into the Agency during a period when different kinds of programs and priorities were dominant. It would seem, therefore, that cross training of the type recently undertaken to increase the number of technical staff with agribusiness knowledge and additional training, in management and other generic skills identified as important, should be an Agency management priority. These comments are true for the other two categories (RD and ENR) as well.

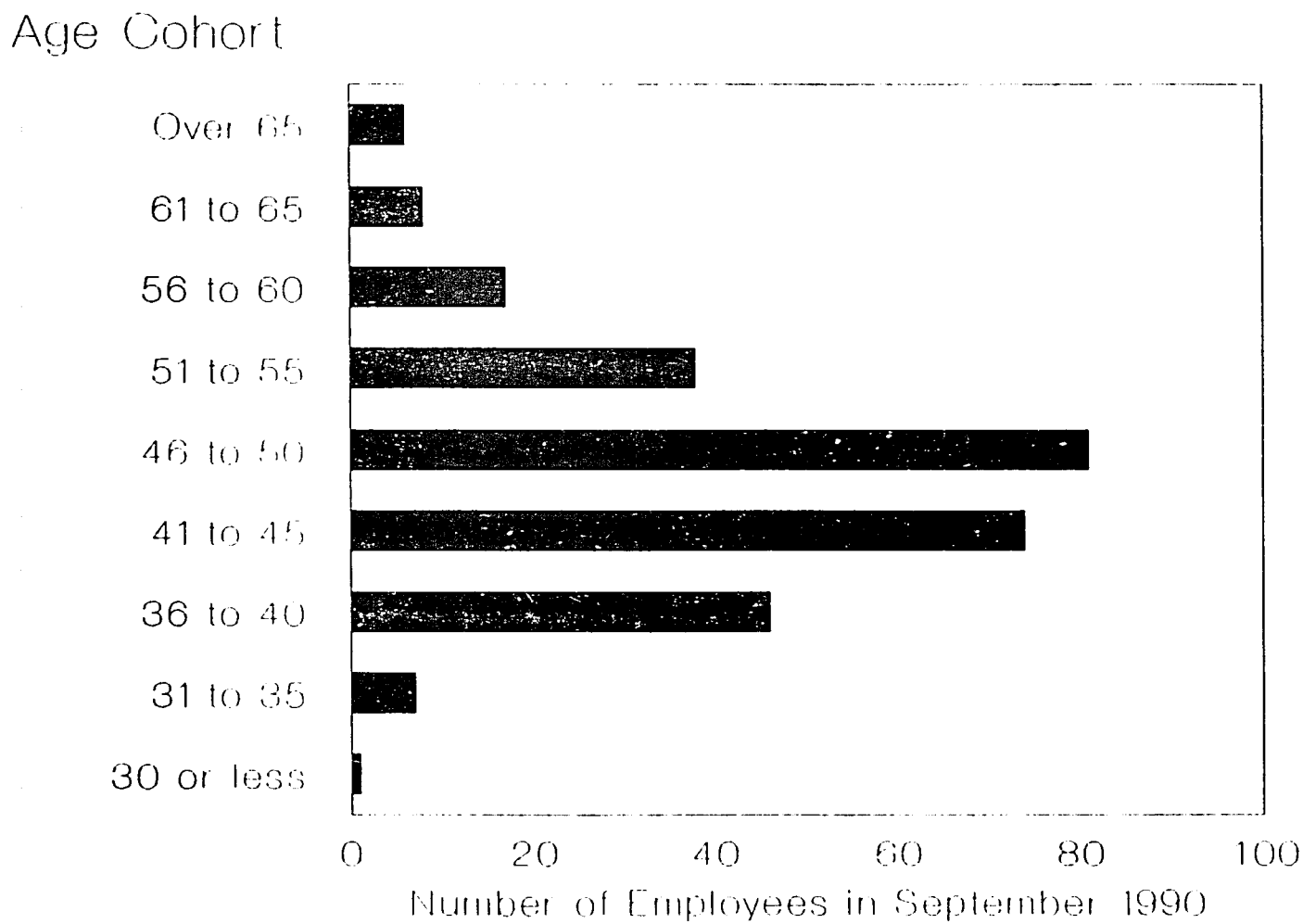
278 Technical Officers in Agriculture, Rural Development & Natural Resources



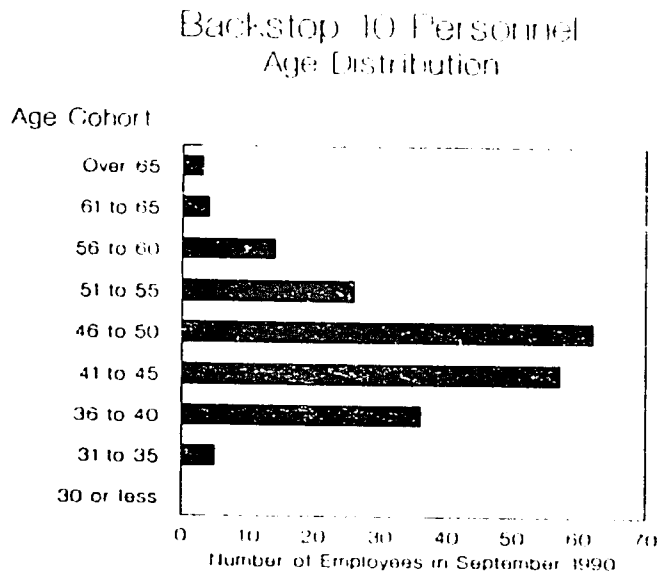
Data are as of September 1990

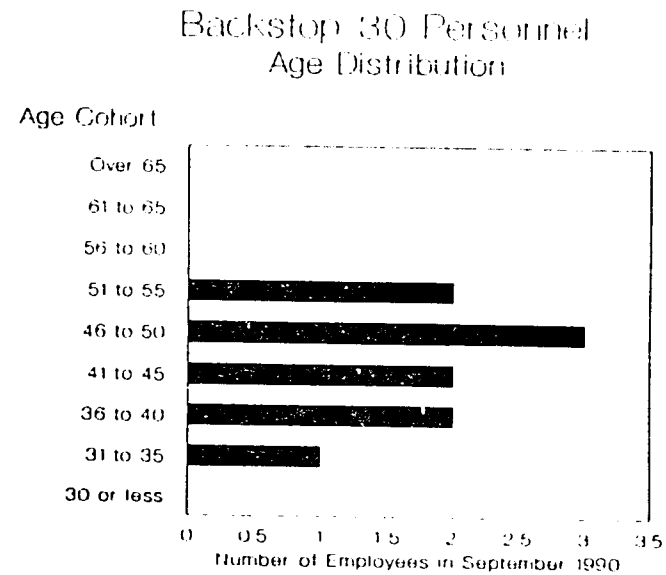
CHART III-4

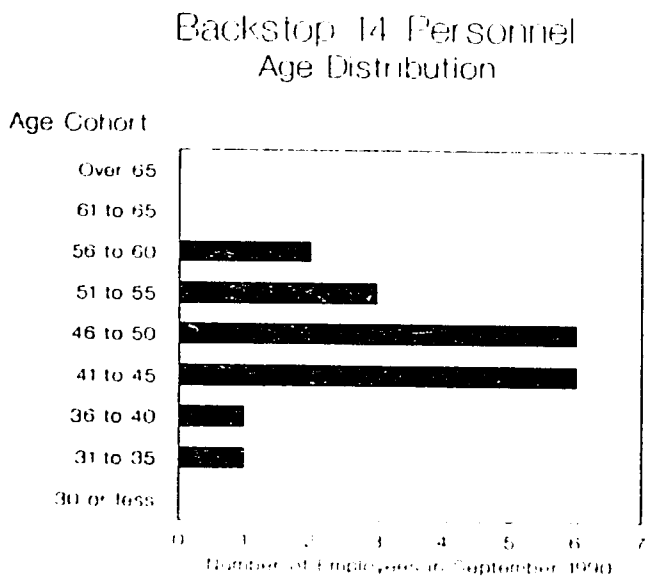
Age Distribution of 278 Officers
in Backstops 10, 14, 30, and 75

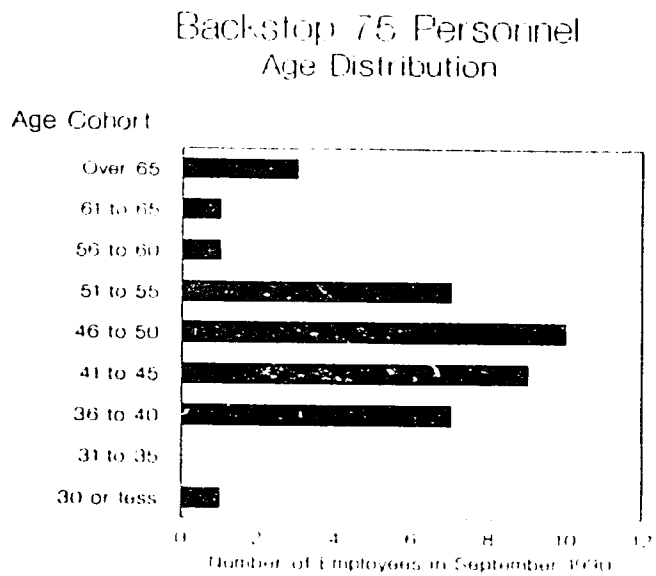


GRAPH III-5


Backstop 10 Personnel
Age Distribution
Age Cohort
Over 65
61 to 65
56 to 60
51 to 55
46 to 50
41 to 45
36 to 40
31 to 35
30 or less
0
10
20
30
40
50
60
70
Number of Employees in September 1990


Backstop 30 Personnel
Age Distribution
Age Cohort
Over 65
61 to 65
56 to 60
51 to 55
46 to 50
41 to 45
36 to 40
31 to 35
30 or less
0
0.5
1
1.5
2
2.5
3
3.5
Number of Employees in September 1990


Backstop 14 Personnel
Age Distribution
Age Cohort
Over 65
61 to 65
56 to 60
51 to 55
46 to 50
41 to 45
36 to 40
31 to 35
30 or less
0
1
2
3
4
5
6
7


Backstop 75 Personnel
Age Distribution
Age Cohort
Over 65
61 to 65
56 to 60
51 to 55
46 to 50
41 to 45
36 to 40
31 to 35
30 or less
0
2
4
6
8
10
12

2. Rural Development

Agency Foreign Service rural development officers (Backstop 14) have dropped from 35 in 1985 to 19 in 1990. Economics, anthropology, and sociology are the subjects of most of their college degrees. Most (16 of 19) are assigned overseas--12 in Asia and the Near East. They have language skills in French, Spanish, or Arabic. Some of the technical staff working in rural development have occupational specialties that do not fall in Backstops 14 and 75.

Eleven of the 19 are between the ages of 46 and 60. Seven of these have between 21 and 30 years of service. Hence it can be expected that attrition in this category through retirement will be significant during the 1990s. Replacements, if required, should be keyed to the knowledge areas and skills identified in section II above.

3. Environment and Natural Resources

Staff composing the ENR cadre are difficult to track since they are scattered through Backstops 10, 30, and 75 and not all are in ENR assignments.

The Backstop 30 staff are all FS and include eight officers working in natural resources positions and two energy specialists. Most have degrees in agriculture, biology, or social science. Five are assigned overseas, four are in Washington, and one is on complement. Half are between the ages of 36 and 45 and half are between ages 46 and 55. Half have less than 15 years of service, 4 have between 16 and 20 years, and 1 has between 26 and 30 years. They are in grades FS 1-3.

There are 39 physical and social science officers (Backstop 75). Four are FS and 35 are GS. Six of these officers work in ENR positions, and most of these have degrees in biology. Some of the others have degrees in social sciences and work in RD positions; most of the social scientists and physical scientists work in health/population/nutrition and other positions outside agriculture, rural development, and environment/natural resources. Eighty percent of Backstop 75 GS staff and 75 percent of FS staff have 15 or less years of service. They are clustered in ages between 36 and 55. The FS officers are in grades 2 and 3. The GS staff are mainly at the GS-14 level. Thus the profile is a mature work force, predominantly Washington based.

G. RELATING EXISTING RESOURCES TO FUTURE REQUIREMENTS

The AID personnel database, as presently constituted, does not lend itself to relating the existing work force to future requirements. This will be a major impediment to the recently initiated work force planning effort. One problem is that the people involved in our study, particularly ENR and RD officers, are spread across several backstop codes and the GS and FS personnel systems. Secondly, the only basis for establishing knowledge areas is the topic of highest academic degree. This is a rough indicator at best, and fails to take account of subsequent work experience and training. Finally, there is no mechanism for identifying the degree to which staff have the general skills that have become increasingly important for effective technical officer performance. Hence it is only possible to make rough judgements about how well the existing resource base meets future requirements.

We believe a better system and database for categorizing and analyzing existing staff and their skills in relation to requirements is needed. During this study we were introduced to the computerized personnel information system developed at the World Bank. It is an interactive system, composed of a number of databases easily accessible throughout the Bank organization and which can be used by both its personnel staff and program managers for a wide variety of purposes in support of work force planning and management, including matching position requirements against employee skills inventories. It includes a staff profile, which each employee participates in developing, that covers not only prior education, training, and work experience but also identifies skills and experience gained and used in each assignment. Individual staff profiles produced by the system are similar to those produced by the Agency RAMPS system but are more detailed. Such a system within AID would greatly facilitate efforts, such as this one, to match existing resources to future requirements.

Clearly more ENR technical staff are needed, given growth in programming in this area and its projected continued priority. A comparison of Table II-1 on expenditures by sector and Table III-1 on staffing levels by sector shows a significant imbalance between program and staff levels, as, for example between funding and staff in the AGR and RD categories as opposed to funding and staff in the ENR category. The presumption is that much of the activity in ENR is being managed by direct hire AGR and RD personnel, but it may also be that much of it is being managed by nondirect hire staff and institutional contractors. A more intensive look at both the nature of programs and projects in the two categories and the character and quality of the technical work force associated with them is needed to make definitive judgements about the extent of the problem and the most appropriate remedies. We anticipate that both recruitment of new staff and retraining of existing staff will be required.

Action is already under way to increase the ENR management direct hire technical staff of the Agency. In this study we were specifically directed to avoid getting into numbers; however, a separate environmental work group within the Agency has projected that, as a minimum, each of the four regional bureaus and the Bureau of Science and Technology will need two direct hire environmental program directors (a chief and a deputy) to head environmental offices, plus 1-2 direct hire environmental economists and 8-10 direct hire technical generalist environmental project officers for each office and key field missions. This works out to a total requirement of 60-80 direct hire environmental officers, a requirement the work group proposes be met by hiring 12-16 new employees annually in this category.

These figures do not seem unreasonable if one assumes, as the working group presumably has, that AID will retain its present organizational configuration. The working group also assumes that project assistance will remain the norm for the 1990s, at least with regard to the Agency's environmental activities. But given the scope, pace, and global character of the environmental and natural resources problems looming in the 1990s, there is reason to question whether the Agency can afford to continue deconcentrating its resources in such a fashion. One has to ask whether this deconcentration will result in the Agency having such a minimal impact on major environmental problems that it eventually loses support from Congress and the public, and forfeits its role in this area to other government agencies. We believe this question is one the Agency must confront, particularly in this highly visible and politically charged area.

The expectation of the working group is that individuals selected for the project officer positions would have backgrounds in a range of environmental fields such as biodiversity, environmental education, urban/industrial pollution, energy conservation, environmental engineering, coastal zone management, global climate change, tropical forestry, integrated pest management, water/soil resources, agroecology, and land-use planning. Each technical officer would be expected to manage a portfolio of environmental projects beyond his/her own particular specialty.

Because of the way ENR activities have developed in AID, its present technical staff are trained and experienced in "green-end" issues, such as ecology, forestry, watershed management, and so forth. Recently developed selection criteria for the first group of new technical staff to be hired also tend to emphasize green-end biology knowledge. This is probably suitable for the current ENR portfolio, but it seems probable there will also be a need for staff with engineering and other relevant areas to deal with aspects of "brown end" environmental pollution as this becomes of greater importance in developing countries.

The Agency needs to retain a sufficient, albeit small, staff of RD personnel (or people skilled in the social science aspects of development) to provide support for managing the interface between local populations and the new priorities of private sector development, sustainable agriculture, natural resources conservation and development; and environmental protection and promoting democratic pluralism. RD personnel have been prominently involved in developing programs and projects in current and future Agency priority areas such as social and agro-forestry development, micro- and small-scale enterprise development, agricultural marketing, and development of local popular institutions. The sustainable agricultural development priority will require even greater attention to the social soundness of agricultural programs and projects and responsiveness to the broader objectives, needs, and capabilities of local populations who will determine the direction and rates of adoption of sustainable agricultural practices. Given the very small direct hire RD staff left and the further diminution that will occur through retirement during the early 1990s, recruitment to maintain a conceptual capability in this area is needed.

The situation with respect to agriculture is more complicated in part due to the larger numbers of people involved. Also the trends in agriculture are less clear, and in some ways contradictory. While the predominant view of those consulted for this study is that Agency programming in agriculture will at best hold steady and possibly decline during the 1990s, the figures on expenditures in Table II-1 do not support this, at least for the beginning of the decade. It has also been noted that sustainable agriculture may require considerable research, even though research (or at least traditional research programs) was identified as an area that would receive less attention in the 1990s. There are undoubtedly other contradictions of this sort that need further sorting out.

An additional problem is that although we can identify the combination of knowledge and skills most desired for direct hire technical officers in the 1990s, we cannot establish from the existing database the extent to which the relatively large number of agriculture technical officers already possess them. However, since most of the Agency's direct hire technical officers were recruited during a different era, we assume that many lack the knowledge and skill combinations required to perform effectively. Since they are largely tenured, mid- and upper-level career officers, the Agency may need to seek special funding and authority to embark on an extensive mid-career training program for them.

This requirement may be mitigated somewhat by the fact that a significant proportion of the existing agricultural technical cadre will reach retirement eligibility during the 1990s. Thus the most effective means of altering the agriculture direct hire work force in the directions desired may be a combination of providing training coupled with encouraging selective retirement and recruiting additional junior staff with skill and knowledge requirements that can be developed along the lines of the career path indicated below.

The Agency should be prepared to invest in knowledge and skills training to heighten the capacity of its technical cadre to perform the technical generalist role that will be most in demand in the 1990s. This should include additional cross training and technical/sectoral updating training in areas such as agribusiness and trade, sustainable development, environmental issues relating to agriculture, and natural resources development and management. Skills training in such areas as data synthesis and analysis; policy analysis; strategic planning; interpersonal, facilitating, negotiating, and leadership skills; and verbal and written communication should be provided through the development studies program, management skills courses, and other selected fora.

Assuming the current trend toward contracting for most specialized technical requirements will continue, the Agency should use cross training of the type described above, together with a career development program along the lines presented below, to eventually produce a cadre of technical generalists able to provide on-site management of the Agency's program within developing countries and to fill positions responsible for technical support to these areas in AID/W or regional offices.

H. CAREER PATH DEVELOPMENT OPTIONS FOR TECHNICAL GENERALISTS

If AID is to have a cadre of technical generalists to effectively carry out the functions described previously, it will have to develop a much more aggressive career-development program--one that can provide the combination of work experience and training necessary to develop the skills and knowledge required for sector managers to function effectively in a broad-gauged manner. This will require providing more training opportunities, both long and short term, than have been the norm in recent years.

As an initial step, the AID recruitment and employment process should result in the selection of individuals who not only have strong educational backgrounds and relevant work experience in relevant technical areas but who also display the aptitude and potential for assuming broader sectoral management responsibilities as they progress within the Agency.

Once employed by AID, a prototypical career progression for an AGR/RD/ENR technical generalist might include the following elements:

- An initial period (six months to a year) in Washington, D.C., to learn how the AID/W bureaucracy operates, the roles and relationships of different offices within the regional and central bureaus, how the program and project review process works and what is expected from field missions, how the contracting process works, and so forth. The contacts established at this time will be an important future reference. Language training should also be accomplished during this period.

- A training and orientation period (6-18 months) during the initial field assignment to include short on-the-job training assignments with different elements of the AID field mission, for example, controller, program, contracts, etc. This initial period should also be used to have the new officer work on specific problems related to the different elements of the sector program to which he/she will be assigned.

- A period of 5-8 years in field assignments (preferably in larger AID missions) involving management of several different kinds of projects to give the officer a thorough grounding in AID procedures and the diverse elements of a broad sectoral program.

- A rotation assignment in a regional bureau or S&T to provide an opportunity to better appreciate AID/W and congressional concerns and to broaden understanding of AID's regional and global programs. During the Washington assignment, maximum advantage should be taken of training and study programs to continue to build the range of skills necessary for the direction of a larger sector program.

- A field assignment as a division chief or deputy AGR/RD/ENR office director in a medium-to-large mission to provide experience in program (as opposed to project) conceptualization and management. This would also provide an important period of mentoring by an experienced sector program director.

- A field assignment as the sole AGR/RD/ENR officer in a small mission to hone strategic planning and program management skills.

- A year of AID-funded graduate study to further develop the knowledge and skills necessary to conceptualize and manage a broad-sector program. For someone trained in the biophysical sciences, this could provide the opportunity for training in economics and policy. For someone trained in the social sciences, it could provide the opportunity for training in natural resources management and/or different facets of agriculture.

- The culmination of an AID career as a technical officer would be as director of a large field sector program or as director of a technical office in a regional bureau or S&T. These positions would be senior FS-designated slots to reflect the level of responsibility involved.

- Those who wished to take on broader management responsibilities could present themselves as candidates for mission management and other AID/W management positions.

We realize that following such a career development track under current and probable future OE funding and staffing constraints will be difficult. However, it is presented as a guide to existing and prospective employees, career counselors, training officers, and AID senior management on the kinds of work assignments and training opportunities that might facilitate the development of the high-quality, broad-gauged technical officers necessary for effective leadership in the 1990s and beyond.

SECTION IV. CONCLUSIONS AND RECOMMENDATIONS

In this section we present the principal conclusions derived from our review and analysis and our recommendations regarding them.

A. WITH RESPECT TO AGENCY MISSION, ORGANIZATION, AND OPERATING PROCEDURES

Conclusion: A number of basic factors, described in section II, have combined to alter the environment in which AID operates and the character of its programs. The Agency is undergoing a transition to cope with these new circumstances and make itself more responsive to them. It is changing directions and expanding into new programs and countries, even as it reduces in size and alters its operating character. There is not yet a clear, agreed Agency view on its future strategies or program emphases.

Recommendations: To expedite this transition and reduce the resulting stress on the work force, Agency senior management should move rapidly to develop and institutionalize a common vision within the Agency as to its mission and greater consensus on its goals, objectives, role, and operating style. In the words of one survey respondent, "It is difficult to talk about technical skills re-orientation and enhancement in the 1990s without a clear, well-grounded and shared development vision and commitment."

The recently enunciated Agency Mission Statement is a good beginning toward setting forth such a common vision, but should be taken further, by involving Agency staff in discussions to establish clearly the role of various Agency elements in advancing the six principles enunciated in the mission statement, and how Agency resources can be most effectively deployed. Implementing this recommendation is an essential first step and building block to all the others. It should be followed by a vigorous effort to reach agreement with Congress on the Agency's role and mission and on the appropriation of both program and operating expense budgets that are consistent with it, including a concerted effort to reverse the damaging downward trend in direct hire personnel levels.

Conclusion: Given the altered operating environment and emerging priorities, as well as the likelihood of continued lowered resource levels, it seems timely to also examine whether the organization of the Agency, which has existed since 1961 with only minor modifications, is appropriate for its current mission and resources.

Recommendations: A thorough analysis of Agency organization should be made, particularly at the headquarters level. The analysis should seek to establish whether there are organizational alternatives that would more effectively promote the Agency's newly articulated mission, and permit a more efficient and productive use of its increasingly thinly stretched human and financial resources with clearer and greater impact. Special attention should be directed at refocusing AID/W bureau activities toward technical support in accordance with field priorities and a reduction in duplicative efforts.

Conclusion: The trend toward reduced staffs and operating budgets appears likely to continue into the 1990s unless AID is able to present a persuasive case to OMB and the Congress on the adverse effects that this trend is having on program quality and accountability. Significant streamlining of processes as well as organization is needed. Despite delegations of project approval authority to the field and other positive steps, many still feel AID program and personnel processes are cumbersome and out of sync with the new circumstances within which it is operating. Attempting to modify technical staffing patterns and improve personnel competencies and performance without altering these processes will yield limited results.

Recommendations: As part of its overall work force planning effort, AID should prepare a well-documented case to support the need for adequate staff resources to manage its diverse and complex program. This case should then be vigorously presented to OMB and the Congress to attempt to reverse the steady downward trend in the direct hire work force.

AID's administrative, personnel, procurement, and reporting procedures should all be reviewed from the perspective of whether they are appropriate for AID's current mission and functions, and whether they can be made more conducive to achievement of the Agency's mission. Personnel and contracting procedures are two areas where improved processes are badly needed. Recommendations from recent studies such as the Kimball task force on personnel and the preceding recruitment and training studies should be reviewed and acted on as part of this effort.

B. WITH RESPECT TO AGENCY PROGRAMS

Conclusion: Agency programs are evolving toward assistance to a much broader range of countries, into more program assistance and less project assistance, with a strong emphasis on policy change, private sector development, and environmental concerns.

Recommendations: To permit this evolution to proceed smoothly and rapidly, more effort should be directed to revising and systematizing program assistance concepts, systems, and procedures. Basic Agency guidance (the handbooks) should be rewritten (or replaced) to make it more relevant to these developments. Work already under way in the Africa and Latin America regions to provide better guidelines on program assistance needs should be expanded and pursued on an Agency-wide basis.

At the same time, Agency personnel, particularly technical and program staffs who "grew up" in the project/public sector emphasis era, need to be given training and career development programs in line with AID's new priorities and manner of doing business (see below).

Conclusion: Significant shifts are under way in the levels and types of programs within the three technical areas with which this report is concerned. Programs in environment and natural resources are growing rapidly, and programs in agriculture and rural development are being reduced or are changing in character.

Recommendations: These changes, along with the broader program changes identified above, must be reflected in Agency work force planning and in future recruitment, training, and career development programs.

More direct hire environment and natural resources technical officers should be recruited. Their number and type should be determined by a thorough analysis of (a) the current situation, that is, who is managing what and how, with regard to the existing program; and (b) the likely nature of future programs, to, for example, ensure an appropriate skills mix for both "brown" and "green" requirements. This analysis should be jointly sponsored by the Environment and Natural Resources Sector Council and the Office of Personnel and done as part of phase two of the current Agency work force planning exercise.

The Agriculture Sector Council should further examine and verify the projected changes in agriculture program character that we have identified. Assuming these changes remain valid, the Council should update and refine Agency agriculture policy and strategy statements in the light of these changes. The object should be to ensure maximum consistency between the rationale and objectives set forth in policy and strategy statements and the level and character of future programs.

Assuming program trends remain as identified, a means should be found (we suggest one below) to establish the degree to which existing direct hire agriculture technical officers possess the knowledge and skills needed for the types of programs and functions indicated. A coordinated program of training, outplacement support, and selective recruitment (particularly at junior levels) should be undertaken to bring the agriculture direct hire technical work force into alignment with the requirements identified for the 1990s. Special funding to support this effort should be sought from Congress, if needed.

C. WITH RESPECT TO AGENCY STAFFING

Conclusion: There has been a dramatic shift in work force composition in recent years. The number of nondirect hire personnel has increased sharply while direct hire staff has declined, particularly in two of the three technical sectors of concern here. As this change has occurred, the role of the direct hire technical officer has evolved away from dealing directly with specific technical issues and tasks toward conceptualizing and managing a complex, integrated sectoral or subsectoral program. This requires not only good technical knowledge and skills but also strong management, strategy formulation, program conceptualization, negotiation, communication, and facilitation skills.

The majority of those surveyed believe that it is essential to maintain a career cadre of direct hire technical officers at the field level. The most common reasons cited were the need to retain technical credibility with host country officials and private sector leaders; ensure the technical relevance and quality of Agency programming; and acquire, guide, and interpret the activities of contracted technical expertise. At the same time, recognizing that field missions cannot afford a complete complement of technical staff, a critical mass of technical staff expertise is required in AID/W.

Recommendations: A number of actions are required and should be accomplished as part of the Agency work force planning effort now in progress. A permanent capacity for work force planning should be created within the Agency, involving both the Office of Personnel and Agency elements concerned with forward program planning. Agency senior management should be actively involved in the process. Actions required are presented below.

The increased involvement of nondirect hire personnel in the total Agency work force should be more explicitly recognized in Agency planning and the delineation of functions between direct and nondirect hire personnel should be clarified. Many within the Agency find the trend toward fewer direct hire and more nondirect hire staff objectionable. The Agency, as part of it work force planning effort, should prepare an analysis of the effect of severely reduced direct hire personnel levels on program quality and accountability. This information should be used to make a persuasive case to Congress and OMB to provide a larger operating expense budget and higher direct hire employment ceilings, and increased technical staff in critically short areas such as environment and energy.

Direct hire technical positions should be rewritten to better reflect their actual role and function and responsibilities vis-a-vis nondirect hire staff. Roles and responsibilities of direct hire technical staff should be realigned so they are better able to perform the analytical, strategy formulation, management, coordination, and facilitation roles identified as their most important functions.

The value of maintaining adequate field direct hire technical staffs should be explicitly recognized by Agency senior management, and factored into Agency work force planning.

Contracting out of administrative functions should be examined, to free up limited direct hire positions in order to maintain an adequate cadre of direct hire technical personnel.

The Agency should work toward developing appropriate cadres of career technical managers capable of managing the Agency's programs in agriculture, rural development, and environment/ natural resources management. These staff would be supported by a cadre of Washington-based direct hire technical specialists who would also be responsible for managing the Agency's research program and interacting with the U.S. and international technical community. This group should be augmented by technical specialists on limited appointments or on detail from other entities--for example, other government agencies, universities, or private organizations. The American Association for the Advancement of Science (AAAS) fellowship programs and BIFAD's joint career corps are examples of existing mechanisms that can be used to meet limited-term technical specialist requirements.

To ensure the existence of career technical managers who have the necessary skills and experience to effectively perform the tasks expected of them, and who are most effectively placed within the Agency, the Agency personnel data system should be expanded and linked more fully into its work force planning, recruiting, assignment, and training systems. New personnel databases should be created, which describe in detail for each individual the general and technical skills that each possesses that are required to effectively carry out current and future (as opposed to historical) roles within the Agency, and should be revised as Agency program changes evolve. Actions to accomplish this include the following:

- The current backstop system contains much duplication and overlap and needs to be replaced by a skills based system. Differentiation between "green-end" and "brown-end" and between "rural" and "urban" skill types needs to be made, since technical skill requirements for these are quite distinct.

- Position descriptions should be rewritten to more fully and accurately describe functions to be performed and the combination of generic skills and professional, technical knowledge and experience needed for effective performance.

- Data on technical staff skills and experience should be updated at least on a biannual basis.

- Managers should access this data and use it to identify employees with the combination of professional experience, knowledge, and skills most closely matching the jobs they are seeking to fill.

- Work force planners should regularly review the technical skills database and compare it with program planning data to determine actions needed to bring the technical work force into better synchronization with current and anticipated needs. Such actions should include training in line with AID's new priorities and skills upgrading of the existing work force; personnel recruitment to fill existing gaps and future needs; and outplacement, if necessary, of personnel who do not meet knowledge and skill requirements, and for whom retraining is not feasible.

- Senior executive and technical managers should be heavily involved, along with personnel management, in Agency work force planning.

The Agency should be prepared to make the staff development investments necessary to heighten the capacity of its direct hire technical cadre in agriculture, rural development, and environment/natural resources to perform the technical management roles that will be required of them during the 1990s. The types of knowledge and skills needed are described in section III G. In some cases, perhaps only a reorienting of work priorities, or a redefinition of duties, and some coaching is needed. In other cases more extensive training programs will be required.

The career development model for Agency direct hire technical managers in agriculture, rural development, and environment/natural resources set forth above should be used as a guideline for Agency work force planning with regard to these technical areas, and for associated recruitment, assignment, and career development actions.

ANNEX A

SUMMARY OF AGENCY MISSION AND POLICY STATEMENTS

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ANNEX A
SUMMARY OF AGENCY MISSION AND POLICY STATEMENTS

The September 1990 "AID Mission Statement" (Attachment 1) provides the most current overall statement of the Agency's objectives. It is the first such statement since Administrator Roskens was appointed and confirmed in April 1990. Its introductory paragraph reads:

> "The Agency for International Development administers economic assistance programs that combine an American tradition of international concern and generosity with the active promotion of America's national interests. AID assists developing countries to realize their full national potential through the development of open and democratic societies and the dynamism of free markets and individual initiative. AID assists nations throughout the world to improve the quality of human life and to expand the range of individual opportunities by reducing poverty, ignorance, and malnutrition."

The statement does not discuss "how" AID is to carry out its mission to reach these objectives, and so makes no reference, per se, to agriculture or rural development. However, it does mention "responsible environmental policies and prudent management of natural resources" as a guiding principle.

Agriculture

The May 1982 AID Policy Paper, Food and Agricultural Development, the November 1983 AID Food and Agriculture Strategy, and the Agency's May 1987 Food and Agriculture Focus Statement are considered to be the Agency's definitive statements on the rationale and objectives for agricultural programs.

The "policy paper" reads:

> "The objectives of the U.S. food and agricultural assistance program are to enable countries to become self reliant in food, assure food security to their populations and contribute to broadly based economic growth. These broad objectives entail two major subobjectives, namely: increased food availability, and improved food consumption in rural and urban areas. "The "strategy paper" is directed at how the policy is to be implemented. It states: "Food and agricultural development will concentrate on four areas:

- improving developing country policies,
- strengthening human resources and institutional capacities with special emphasis on science and technology,

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- expanding the role of the developing country private sector and the complementary role of the U.S. private sector in assisting that expansion, and

- integrating all available assistance instruments, including PL 480 food aid.

The "focus statement" reads:

"The focus of the Agency's Agriculture, Rural Development and Nutrition program is to increase the income of the poor majority, and expand the availability and consumption of food, while maintaining and enhancing the natural resource base." The March 1989 report of the Agency's Food and Agriculture Task Force, entitled Food and Agriculture: Goals, Directions, and Operations for the 1990s has provided more recent guidance to the Agency in implementing its food and agriculture programs. Fourteen of its 29 recommendations were approved by Administrator Woods. It reaffirms the validity of the "focus statement" for the 1990s and calls for continued major attention and investment by the Agency in food and agriculture. Each of the regional bureaus have or are formulating agricultural development strategies that emphasize support to private sector activities in marketing, processing and transportation for both domestic and export markets, with less attention to production than in the past.

Rural Development

The Agency's "focus statement" is the only current Agency-level statement with regard to its rationale and strategy for rural development. However, the program of the Office of Rural and Institutional Development (S&T/RD) is endorsed by the Rural Development Sector Council and well regarded by field missions. Its program objectives are to support field programs that:

- Broaden economic participation through improved performance of factor and output markets.

- Motivate and empower people, communities and institutions to sustain productive and environmentally sound use of the natural resource base.

- Encourage better management of policy, institutional and technological change in support of these programs.

Environment and Natural Resources

The Agency's 1988 Policy Paper on Environment and Natural Resources identifies three crosscutting themes to be promoted: a) sound economic and environmental policies; b) institutional development; and c) technology generation and commercialization. This Policy Paper provides the conceptual foundation for the 1990 Agency's Environmental Initiative which identifies "areas of intervention" for AID. Two areas are global, namely environmental policy and economics, and strengthening environmental institutions. In addition each regional bureau has identified major

technical environmental problem areas on which the majority of their programs will be focused. These are:

AFR

- sustainable agriculture, particularly soil management
- tropical forests and rangelands
- biological diversity

ANE[1]

- water and soil resources
- energy efficiency and use
- urban and industrial pollution
- tropical forests and biological diversity

LAC

- sustainable agricultural production
- tropical forests and biological diversity
- watershed management
- coastal zone management

A key provision of the Initiative is that beginning in FY 1991, each bureau will devote at least 75 percent of all new environmental resources to support activities in the two global problem areas and the several technical areas listed above.

The programs for carrying out these Agency policy and strategy statements are in the main developed by individual country missions, subject to review and approval in AID Washington. Since they are intended to assist and support activities in the countries in which AID operates they must be consistent with those activities, as well as those of other donors. The central and regional bureaus in AID Washington assist country missions and host countries by preparing survey and analytical documents which highlight problems and opportunities and suggest appropriate programmatic approaches. Two recent examples of such documents are the former ANE Bureau's "Food Systems Strategy for Growth in the 1990s" and "Toward an Environmental and Natural Resources Management Strategy for Growth in the 1990s." Both these documents offer valuable insights into Agency programming trends and priorities in the 1990s. We understand that similar documents are under preparation by other regional bureaus. In addition there are also regional and central bureau

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[1] Subsequent to the development of this paper, portions of the ANE bureau were combined with the former Private Enterprise Bureau to form two new bureaus: Europe and Near East (ENE); and Asia and Private Enterprise (APRE).

managed projects and activities which provide research and technical support to field missions and developing countries in accomplishing their development programs.

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ATTACHMENT 1

A.I.D. MISSION STATEMENT

The Agency for International Development administers economic assistance programs that combine an American tradition of international concern and generosity with the active promotion of America's national interests. A.I.D. assists developing countries to realize their full national potential through the development of open and democratic societies and the dynamism of free markets and individual initiative. A.I.D. assists nations throughout the world to improve the quality of human life and to expand the range of individual opportunities by reducing poverty, ignorance, and malnutrition.

A.I.D. meets these objectives through a worldwide network of country missions which develop and implement programs guided by six principles:

- -- support for free markets and broad-based economic growth
- -- concern for individuals and the development of their economic and social well being
- -- support for democracy
- -- responsible environmental policies and prudent management of natural resources
- -- support for lasting solutions to transnational problems
- -- humanitarian assistance to those who suffer from natural or man-made disasters.

A.I.D.'s mission as a foreign affairs agency of the United States Government is to translate into action the conviction of our nation that continued American economic and moral leadership is vital to a peaceful and prosperous world.

9-12-90

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ANNEX B

SURVEY OF AID FUTURE PROGRAM TRENDS QUESTIONNAIRE

CHEMONICS

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SURVEY OF AID FUTURE PROGRAM TRENDS,

Their Impact on the Agriculture, Environment/Natural Resources, and Rural Development Segments of AID's Program, and Future Direct-Hire Technical Resource Requirements in These Areas

The object of this survey is to gain a better perspective on trends in AID development assistance over the next decade, to help in clarifying the Agency's needs for this period in agriculture, natural resources, and rural development direct-hire (DH) technical officers. The focus is on types of skills, not numbers of people. The survey is being undertaken in conjunction with an agency-wide examination of work-force requirements.

The emphasis of this particular effort is on determining the skills required by DH technical officers in the fields identified above, and their relationship to others involved in the implementation of Agency-supported programs and projects. The survey will be complemented by a review of pertinent strategy statements and other documents. An assumption underlying the effort is that as AID enters the 90s, major changes are taking place in the Agency's activities and methodologies. These changes will impact on the role of DH technical staff and affect the Agency's recruitment, assignment and in-service training strategies.

The results of the survey and document analysis will be incorporated into a report to the three Agency sector councils and to the Office of Personnel Management. The report will contain recommendations intended to provide guidance for the Agency's recruitment, assignment, and training programs.

Your assistance in providing your most reasoned and candid responses to the following questions will be greatly appreciated. For ease of response we have framed most of the questions so they can be answered with a simple check-mark. Space has been provided for a brief written elaboration of your views where you feel this is needed or would be helpful to us.

Respondent data:

Name: _____

Bureau: _____

Functional Title: _____

Grade: _____

Professional Specialty: _____

A. General Program Trends

1. Based on your understanding of curent Agency program directions (particularly as reflected in the recently adopted "AID Mission Statement") what do you anticipate will be the level of activities for programs in the following areas in the 90s, as compared with the past decade?

Agriculture	More ___ Same ___ Less ___
Environment/Natural Resources	More ___ Same ___ Less ___
Rural Development	More ___ Same ___ Less ___

Why?

2. Do you think the emphasis of AID programs in these areas will be greater, less, or remain about the same?

Direct bilateral assistance	More ___ Same ___ Less ___
Joint-donor assistance	More ___ Same ___ Less ___

Why?

3. Do you think activities in these areas will place more, less, or about the same emphasis on the following?

Non-project assistance	More ___ Same ___ Less ___
Project assistance	More ___ Same ___ Less ___

Why?

4. Do you think these activities will provide more, less, or about the same support to the following?

Public sector entities	More ___ Same ___ Less ___
Private sector entities	More ___ Same ___ Less ___

Why?

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5. Listed below are subject areas of present or potential Agency activities in the fields of agriculture, environment/natural resources, and rural development. Please mark an "x" for each in the appropriate column to indicate your judgment of their relative importance in the 1990s. Please add any you feel have not been identified in the space available at the bottom of the list.

a. Important, will command relatively high level of DH technical officer effort.
b. Will continue to be of interest and importance.
c. Still of some interest, but relatively lower levels of time and effort will be devoted to this area.
d. Minimum interest, minimal effort.

	a	b	c	d
Ag sector support/Non-project assistance	___	___	___	___
Ag planning and policy analysis	___	___	___	___
Ag trade/exports	___	___	___	___
Agribusiness	___	___	___	___
Ag marketing/input supply	___	___	___	___
Ag finance	___	___	___	___
Ag technology development	___	___	___	___
Ag technology transfer	___	___	___	___
Ag education/Human resources development	___	___	___	___
Rural roads	___	___	___	___
Irrigation	___	___	___	___
Soil/Water management and conservation	___	___	___	___
Natural resources policy/planning	___	___	___	___
Nat. res. education/Human resources dev.	___	___	___	___
Conservation/Park management	___	___	___	___
Biodiversity	___	___	___	___
Forestry	___	___	___	___
Coastal resources management	___	___	___	___
Environmental pollution management	___	___	___	___
Renewable energy	___	___	___	___
Institutional development	___	___	___	___
Decentralization/Local govt. development	___	___	___	___
Integrated area development	___	___	___	___
Land tenure/markets	___	___	___	___
Market town development/Urban-rural linkages	___	___	___	___
Small/Microenterprise development	___	___	___	___
Democratic pluralism	___	___	___	___
Other				
_____	___	___	___	___
_____	___	___	___	___
_____	___	___	___	___
_____	___	___	___	___

B. Mechanics of Resource Transfer

6. Do you think the number of AID missions in the 90s, compared to the 80s, will be:

greater ____ about the same ____ somewhat fewer ____ far fewer ____

Why?

7. Do you think the number of direct-hire technical staff in those missions will be:

greater ____ about the same ____ somewhat fewer ____ far fewer ____

Why?

8. How do you think the number of DH technical staff in following areas will change?

agriculture: greater ____ about the same ____ somewhat fewer ____ far fewer ____
environment/natural resources:
greater ____ about the same ____ somewhat fewer ____ far fewer ____
rural development:
greater ____ about the same ____ somewhat fewer ____ far fewer ____
Why?

9. Where do you think most technical personnel in these three categories will be assigned?

AID/W ____ USAID missions ____

Why? (Do you see a significant difference in assignment location between the three categories?)

10. Do you think that in the 90s the use of non-DH personnel to augment or substitute for DH staff will be more, less, or about the same for the following?

techncial advisory functions: more ___ about the same ___ less ___

program/project management functions: more ___ about the same ___ less ___

Why?

C. Role of USDH, FSN, and Contracted Technical Staff

11. Do you think that in the 90s, as compared to the 80s, the technical job function of US direct-hire staff (USDH), foreign service nationals (FSN), and contracted technical advisors (CONT) will involve more, less, or about the same of the following?

M = More S = Same L = Less

	USDH	FSN	CONT
Policy analysis	_____	_____	_____
Negotiating and managing the policy reform process	_____	_____	_____
Sector/subsector analysis/strategy	_____	_____	_____
Project design	_____	_____	_____
Project review/evaluation	_____	_____	_____
Project implementation	_____	_____	_____
Supervising the above	_____	_____	_____
Arranging for others to do the above	_____	_____	_____
Coordinating others doing the above	_____	_____	_____
Other (specify) _____	_____	_____	_____

Comments:

12. (For technical officers only) How do the functions you have identified in the "more" category for USDH officers in question 11 above compare with what you or your colleagues in field missions are doing now?

13. Based on your responses to the above, indicate on the following page the three technical knowledge and general skills areas that you believe will be most critical for different levels of Agency US direct-hire technical personnel in the 90s. See the list on page 7 for examples.

Chief of large technical office:

Technical Knowledge

General skills

Rationale:

Broad-gauged senior technical officer working alone:

Technical Knowledge

General skills

Rationale:

Mid-level technical officer:

Technical Knowledge

General skills

Rationale:

Staff technical officer (project manager)

Technical Knowledge

General skills

Rationale:

ILLUSTRATIVE TECHNICAL KNOWLEDGE AREAS

Macroeconomics
Resource economics
Agricultural economics
Anthropology
Sociology
Political science
Public administration
Natural resource management
Forestry
Agronomy
Ecology
Horticulture
Soil science
Irrigation
Mechanization
Technology Development
Technology Transfer
Small enterprise development
Agribusiness/agroindustry
Business administration
Institution building
Coastal Resource management
Environmental impacts
Industrial pollution control
Agr. pollution control
Renewable energy
Global warming
Ecology
Trade
Finance
Marketing

ILLUSTRATIVE GENERAL SKILL AREAS

Foreign language
Computer
Analysis
Synthesis
Written communication
Verbal communication
Interpersonal
Negotiating
Facilitating
Management
Administration
Cross-cultural
Capacity building
Motivating
Leadership

16. (For Technical Staff only) Are there any skills you feel you will require in the 90s that you do not currently have but could acquire through training? If so, please list below.

ANNEX C

BIBLIOGRAPHY

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ANNEX C
BIBLIOGRAPHY

I. DOCUMENTS PROVIDED BY S&T TECHNICAL OFFICES

A. FENR

1. FENR Action Plan 1992, June 18, 1990

2. AID FENR Sector Activities Summary 1989 (including Conservation of Tropical Forests and Biological Diversity

B. Office of Nutrition

1. Directory, Office of Nutrition, June 1990

C. Office of Agriculture

1. A Program Guide to the Office of Agriculture, Bureau for Science and Technology, February 1989

D. Office of Personnel Management

1. Assessment of the Foreign Service and Civil Service Recruitment Systems, A Report for the Deputy Administrator, Final Report, November 16, 1988

2. "Nygard's Workforce Analysis FY 1989," representative information

3. Report of the Task Force on Personnel, June 15, 1989

II. DOCUMENTS PROVIDED BY REGIONAL BUREAUS

A. Africa

1. Cameroon Country Development Strategy Statement FY 1990-1994, April 1989

2. Mali Country Development Strategy Statement FY 1990-1994, May 1988

3. Niger Country Development Strategy Statement FY 1988, February 1986

4. Senegal Country Development Strategy Statement FY 1989, January 29, 1987

5. Zimbabwe Country Development Strategy Statement FY 1987, February 1985

6. Africa Regional, Natural Resources Management Support Project, July 2, 1987

7. Africa Bureau Sector Strategy, Plan for Supporting Natural Resources Management in Sub-Saharan Africa, Office of Technical Resources, February 1987

8. Plan for Supporting Agricultural Research and Faculties of Agriculture in Africa, May 1985

B. Asia/Near East

1. Summary Report of Current and Planned Environmental, Natural Resources and Energy Activities 1989-1991

2. Action Memorandum for the Administrator, Richard Bissell, Initiative on the Environment, May 29, 1990

3. Meeting the Challenge: Food Systems Strategy for Growth in the 1990s, ANE Strategic Planning Series 1, February 1990

4. Toward an Environmental and Natural Resources Management Strategy for ANE Countries in the 1990s, January 1990

5. Informal Review of Philippines Agriculture and Natural Resource (ANR) Strategy, March 12, 1990

6. Bangladesh Country Development Strategy, FY91-95, June 1990 (revised)

7. Pakistan Agriculture Sector Strategy (from Special Program Week), January 1990

8. Philippines, Summary of the Proposed Agriculture and Natural Resources (ANR) Strategy, no date

9. Indonesia, Country Development Strategy, no date

10. Afghanistan Ag Strategy (from Program Objectives), February 2, 1990

11. Thailand, excerpt 1991 Congressional Presentation

12. South Pacific, excerpt 1991 Congressional Presentation

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13. ASEAN, excerpt from 1991 Congressional Presentation

14. Sri Lanka, excerpt from 1991 Congressional Presentation

15. Bangladesh excerpted Country Development Strategy FY91-95, June 1990

16. India Country Development Strategy Statement FY 1990, volume one, June 1988

17. Nepal Action Plan (FYs 1987-90), February 1988

18. Egypt Country Development Strategy FY 1989, January 27, 1987

19. USAID/Yemen Strategy Statement, 1990-1995, June 1990

20. USAID/Morocco Planning for the 1990s: A Concept Paper, July 1990

21. Kingdom of Morocco: Agribusiness Sector Report, prepared by DAI IQC and AMIS buy-in, August 1990

22. Tunisia Agricultural Sector Strategy Statement, USAID/Tunis, final version, July 1989

23. Agribusiness Sector Strategy for USAID/Tunisia, DAI IQC report, April 1990

24. Tunisia: A Strategic Option for the 90s, USAID Tunisia, February 28, 1989

C. LAC

1. Building a Cadre of Career Agriculturalists in AID, Technical Program Committee for Agriculture, April 1981

2. LAC Bureau Agriculture and Natural resources Strategy, Attachment 1

3. Bolivia Country Development Strategy Statement, FY 1989-1993, April 1988

4. El Salvador Country Development Strategy Statement, FY 1990-1994, Final June 1989

5. Colombia Action Plan, FY 1989-1991, April 1989

6. Panama Country Development Strategy Statement, FY 1988- 1992, Februray 1986

7. Honduras Country Development Strategy Statement FY 1986, May 1984

8. Haiti Revised Strategy Paper FY 1989-1990 (no date)

9. Guatemala Country Development Strategy Statement update, FY 1990-1994, December 1988

10. Issues for Guatemala CDSS Update Review, January 25, 1989

11. El Salvador Country Development Strategy Statement, FY 1990, December 1988

12. Regional Office for Central America and Panama Regional Development Strategy Statement, December 18, 1987

13. Haiti Strategy Paper for FY 1989-1990, January 1989

14. Ecuador Country Development Strategy Statement (revised), 1990-1994, January 1989

15. Domincan Republic Annual Budget Submission, FY 1992, May 1990

16. Costa Rica Strategy Update, March 1988

17. Environment and Natural Resource Management in Central America, A Strategy for AID Assistance, Bureau for Latin America and the Caribbean (no date)

III. OTHER DOCUMENTS

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2. A Rural Economic Growth Strategy for Asia and the Near East the 1990's, The Impact on A.I.D.'s Agricultural Development Officers, prepared for The Agriculture and Rural Development Division of the Office of Technical Resources, Asia and the NEar East Bureau, Phase II Report, prepared by Richard C. Meyer, February 10, 1989

3. Memorandum for John O'Donnell, interview schedule for October 16, 3:00 p.m., Deloitte & Touche management review of AID/Washington activities

4. Workforce Planning and Management, draft, no date

ANNEX D

SCOPE OF WORK

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SCOPE OF WORK: FUTURE PERSONNEL NEEDS ASSESSMENT IN AGRICULTURE, RURAL DEVELOPMENT AND NATURAL RESOURCES

Objective: To identify the specific skills that direct hire employees will require to develop and direct the implementation of emerging Agency program strategies in agriculture, rural development and natural resources over the coming decade. From this inventory, specific recommendations will be made regarding:

-- future technical personnel needs in those areas;

-- recruitment and career development strategies;

-- the appropriate mix of OE and program funded technical personnel;

-- systems/procedures for better matching employee skills with program requirements in the assignment process, and through recruitment and in-service training.

Background: As A.I.D. enters the '90's, major changes are taking place in the things that the Agency does and the way that it does them. Although it continues to emphasize sectoral programs such as Agriculture, Health and Population, the nature of A.I.D.'s interventions in these sectors is changing. In Agriculture (and the closely related fields of Rural Development and Natural Resources Management), there is increased emphasis on policy dialogue and non-project assistance. Agri-business development, international trade considerations and assuring the sustainability of agricultural development have become major concerns. As a result of ever tighter operating expense budgets, the number of U.S. and foreign national direct-hire employees has shrunk dramatically over the past ten years. Increased reliance has had to be placed upon U.S., third-country and local hire contract professionals to do many of the tasks that used to be handled by U.S. and foreign national direct hire technical personnel.

In this environment, there is a clear need for a new breed of technical Foreign Service Officer -- one that is broadly skilled in the technical aspects of his/her sector, able to

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identify needs and conceptualize sub-sector or sector-wide intervention strategies, including the relationship of those strategies to the broader socio-economic context, capable of articulating and negotiating those strategies at the various levels of the host government and private sector and then managing the complex array of financial and human resources required to implement the agreed upon strategies. What skills will A.I.D.'s technical officers in Agriculture, Rural Development and Natural Resources require to meet these challenges? What role should non-direct hire employees play in program design and implementation? How does the Agency's present technical staff measure up to the task? What can be done to better match employee skills to program objectives? What implications do these factors hold for AID's recruitment, assignment and in-service training strategies? These are the principal questions that will be addressed through this scope of work.

A number of major efforts have recently been completed or are now underway, attempting to map out the program directions for the Agency through the 1990's. These include the Draft Agency Mission Statement, the Asia and Near East Food Systems Growth Strategy, the Asia and Near East Natural Resources strategy, the LAC Bureau's Central American Natural Resources Strategy, the Africa Bureau Agricultural Research Strategy, the S&T/Agriculture Strategic Plan, the draft Foreign Assistance Authorization Legislation, and several recent Agency and ANE personnel studies. In addition, the Joint Sector Council (AG, RD, EN) commissioned a review of the Agency ARDN portfolio which provides a break down of funding in Agriculture, Rural Development and Natural Resources by bureau and functional areas, for the period FY 1984-FY 1989. Some, but not all, of the program documents explicitly consider personnel resource issues.

Tasks: Based on a review of the above studies and strategies and selected country development strategy statements (CDSS's) and interviews with top technical and management personnel of the S&T and regional bureaus and field missions (as available), the consultants will:

- o list priority investment areas in both the public and private sectors designed to

promote agricultural and rural development, and improved natural resources management in A.I.D. assisted countries. Examples of these areas might include productivity enhancement investments for crops, livestock, forest and fish commodities, resources conservation and management investments, programs for commodity conversion and utilization (value added) for income and employment generation, socio-economic and policy activities, non-project assistance, and institution building programs.

- o develop an inventory of skills that A.I.D. will need to direct the design, implementation, and evaluation of these proposed program areas.

- o as appropriate, categorize the skills identified according to "essential" skills and "desirable" skills and include recommendations in the following areas: professional/technical, leadership, interpersonal, managerial, operational, and supervisory skills.

- o identify any regional differences in program direction and skills requirements.

- o define appropriate roles and responsibilities of U.S. direct-hire GS and Foreign Service employees; Foreign Service Nationals (FSN's); Joint Career Corps (JCC); U.S. third country and local contract employees.

- o discuss alternative direct and non-direct hire staffing scenarios, based upon program size and complexity. This should include definition of a typology of field and AID/W programs ranging from small/simple to large/complex.

- o based upon program priorities, skills requirements and the definition of roles and responsibilities identified above, prepare a typical career ladder for Agriculture, Rural Development and Natural Resources personnel which lays out the skills and knowledge an officer is expected to have acquired at each phase in his/her

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career. This career ladder would be used in work force planning, recruitment and career planning.

- o to the extent information is readily available, evaluate the current skills mix available in the Agency and compare this with the skills required to manage the Agency's new program directions.

- o discuss systems/procedures for better matching employee skills with program requirements in the assignment process, and through recruitment and in-service training.

Reports: In their report, the consultants should identify the critical issues that will impact on AID's personnel needs in agriculture, rural development and natural resources; provide a detailed discussion of those issues and their implications for AID's long term personnel policy; develop a set of recommendations for addressing these issues and a strategy and actions steps for carrying out the recommendations. Conclusions of this effort will provide guidance for the Agency's recruitment, assignment and training programs.

An oral progress report should be made to the PM staff and the Joint-Sector Council Personnel Subcommittee after ten working days. A draft report should be submitted to the Personnel Subcommittee and PM/FPM for review and comment after 19 working days. A final report in 50 copies should be submitted within one week of receipt of comments from PM and the Personnel Subcommittee.

Level of Effort: The Assessment will require the services of a team leader (25 days), three AG/RD/NR specialists with regional/central program expertise (19 days each) and a personnel systems specialist (8 days) over a period of up to six weeks. The Team Leader and AG/RD/NR specialists should be thoroughly familiar both with A.I.D. programs and operations in the agriculture, rural development and natural resources fields, and with Agency personnel classifications and personnel management policies and procedures. The Personnel Systems Specialist should be thoroughly familiar with skills based work-force planning systems and procedures.

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The consultants will work closely with an A.I.D. steering committee representing PFM/PM and the three sector councils throughout the execution of this review and seek continued guidance and orientation to assure that the product of the review will be consistent with the requirements of this scope of work.

S&T/HR:6/12/90;7/6/90:W1569m

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ILLUSTRATIVE INTERVIEW AND DOCUMENT REVIEW TASKS FOR PERSONNEL NEEDS ASSESSMENT

Bureau	Interviews		Document Review 1/
ANE	Merrill Reade Blue	Flynn Hurdus Hanratty Ichord Kux	ANE Food Systems Strategy; ANE Natural Resources Strategy; CDSS's for Egypt, Pakistan, Philippines, Indonesia, Bangladesh, India, Nepal, Thailand, Morocco, Yemen.
AFR	Saiers Cobb Jepson Sheldon Lundberg	Hobgood Stoner McCarthy	AFR Agricultural Research Strategy; AFR Natural Resources Strategy and NRMS project; CDSS's for Senegal, Niger, Kenya, Cameroon, Mali, Zaire, Liberia, Zimbabwe.
LAC	Schieck Bloom Brineman Rozell	Hester Fort Waldron Korin	Central America Natural Resources Strategy; CDSS's for Honduras, El Salvador, Guatemala, Costa Rica, D.R., Bolivia, Ecuador, Peru, Caribbean Regional, Jamaica, ROCAP, Haiti.
S&T	Chiavaroli Furtick Gayoso Vanderry O'Donnell	Bathrick Chetwynd Johnson Cusumano Douglass	Review documentation for AG, RD and FENR, including documents which deal with gender issues in development.
PFM/PM	Bond Hartman Hooker	Ward Lind Liercke	RAMPS system; Computer runs on AOSC's, academic training, A.I.D.-sponsored training; Meyer recruitment study; Kimball study.
PPC	Hill Schweitzer	McClelland	Policy Documents on agriculture, rural development and natural resources, computer runs on functional breakdown of ARDN and DFA programs.

1/ If CDSS's are more than two years old or if there is no CDSS, contract team should review most recent Action Plan to determine AG/RD/NR strategy/priorities.