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**REPORT ON THE INTERNAL REVIEW  
OF THE  
OFFICE OF THE ADMINISTRATOR  
AND THE  
EXECUTIVE SECRETARIAT**

**AGENCY FOR INTERNATIONAL DEVELOPMENT**

November 1973

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## **Recommendations:**

Clarification of chain of command and roles of certain FO staff, resolution of problems impeding the Agency's ability to fulfill its role in advancing the USG foreign assistance portfolio, and more responsive systems and processes are essential to efficient Agency operations.

The AAs will be held responsible for ensuring continuity and consistency in internal Agency communications and emphasizing improved relations with other USG agencies and departments as an important aspect of the USAID communications strategy.

The Administrator's schedule and accessibility are both issues. The hiring of a full-time scheduler will result in better use of the Administrator's and Deputy Administrator's time.

Recommendations regarding correspondence include the need for standardized guidance, a clarification of substantive review of documents, a centralized document handling system and immediate tracking. Necessary improvement of overall automation capabilities to achieve a number of these recommendations will require upgrading to modernize the computer system. The design and requirements for a scheduling database system, linkage libraries, and imaging equipment should be undertaken immediately.

Finally, although the ES supervisory structure had been flattened through the elimination of two supervisory positions, the number of staff positions remains constant. Immediate actions are required to either fill or properly staff positions in ES. In addition, Fifth Floor staff training, especially senior management training for those who have not previously attended, and skills upgrading courses, primarily for ES staff, are encouraged.

**Methodology**

Because of their unique knowledge of Fifth Floor functions, three employees within FO and ES were tasked with conducting the review. These three were joined by a Management Analyst, a Position Classification Specialist and four consulting members from elsewhere in the Agency. In conducting this review, information was gathered primarily through questionnaires and interviews conducted with 35 individuals within and outside the review offices. (Appendix B)

Undoing these entrenched methodologies will take time. However, with sufficient guidance, direction and structure, USAID operations can strengthen its processes and paperwork in terms of both quality and consistency. The Executive Secretariat can be key in achieving these targets in the very basics--written correspondence and documentation, as well as facilitating the decision-making process required by the Administrator and Deputy Administrator.

## Specific Constraints and Recommendations

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### STAFF WORK

**The perception exists that decisions are being made without the issues having been thoroughly vetted with all sides.**

**Recommendation:** That the Assistant Administrators be held ultimately accountable for ensuring that the Administrator has the benefit of input and information on all sides of an issue when presenting their recommendations.

### SYSTEMS AND PROCESSES

**The Agency is not yet providing rapid, responsive support to the Administrator.**

**Recommendation:** As the reorganization is put into place, and systems and processes, e.g., clearances, are modified or reinvented to be more efficient and responsive, the Agency's ability to provide more timely and higher quality support will improve.

**Communications**

**EXECUTIVE COMMUNICATIONS**

**What is communicated to the Agency's clients, including the executive and legislative branches, foreign governments, public and private organizations and the American public, is extremely important. The content, tone, quality and style of executive correspondence and public remarks regarding the Agency's new directions must give an accurate, consistent message that reflects new policy directives and foreign policy objectives.**

**Recommendations:**

- Encourage team building at all levels in the Agency through a more aggressive communications campaign, consistently communicating to the Agency the new leadership's direction and decisions. Provide more timely and meaningful feedback to Agency personnel through media and various fora. Have AAs meet with ES once a month.
- Better communicate to the field the new Administration's policies, the status of reform and reorganization efforts and items of current interest, such as budget discussions. Use E-Mail to transmit information more effectively, e.g., recent public remarks by FO principals and other Agency decision documents or pronouncements. Solicit input and acknowledge receipt of responses.
- Improve relationships with other USG agencies and departments by encouraging Agency staff to include in the decision-making process other USG colleagues; ensure Agency input and collaboration in any government decisions that include economic assistance. Keep FO principals apprised of current issues with other USG agencies. Seek their guidance and, as necessary, clearance before making Agency commitments.

**AGENCY COMMUNICATIONS**

**Lack of continuous and consistent communications impedes the Administrator's efforts to reform the Agency.**

**Recommendation:** The AAs should use meetings, documents and other means available to ensure that Agency management, at all levels, reflect the current views and policy directions of the Administration in all communications, within and outside USAID.

## Specific Constraints and Recommendations

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### Correspondence

#### **IMMEDIATE TRACKING**

**Bureaus or specific people in bureaus who are required to clear on correspondence usually do not receive copies of the incoming document and tasker on a sufficiently timely basis to enable them to contribute to the drafting process.**

**Recommendation:** A new imaging system should be immediately procured. Relevant bureau correspondence control contacts would be copied. Clearances from other bureaus could be E-mailed.

#### **CENTRALIZED SYSTEM**

**The Fifth Floor receives correspondence/requests in many different forms - letters, faxes, E-mails, phone calls. Faxes, phone calls and E-mails are sometimes received and tasked by people outside of ES. This has result in duplicate taskers.**

**Recommendation:** All letters, faxes, E-mails and phone messages (related to the Administrator's schedule) received by anyone in FO should be sent to one person in ES, with an info copy to the Personal Assistant/Scheduler as appropriate. ES should task everything. Correspondence analysts should reference documents in the computerized system to ensure that the same letter has not been tasked twice.

#### **STANDARDIZED GUIDANCE**

**Clear, standardized upgraded Agency guidance regarding the format, style, tone, content and required clearances for executive correspondence is essential.**

#### **Recommendations:**

- Standardize formats for correspondence (briefing, action and information memoranda and talking points) by ES issuance of an Executive Correspondence Reference Guide to Agency managers and support staffs.
- ES, M and IRM should develop computer macros or glossaries to format automatically each type of document.

## Specific Constraints and Recommendations

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person will be designated by the AA and will be responsible for reviewing and clearing all Bureau correspondence for FO signature. Once this system is implemented, other internal clearances may not be necessary.

### REWRITES

Letters and memos written by the Bureaus and received in ES are often unresponsive and poorly written. It is not clear who should be rewriting the memos -- ES? the original drafter? the AA's correspondence control person? The Administrator's special assistant? Once rewritten, it is not clear whether clearances are required again.

**Recommendation:** For minor typos and word changes, ES can rewrite a memo or letter. When major rewrites are required, ES will call the original drafter and explain modifications that are needed. There will be a turnaround time of 24-48 hours for major rewrites. The bureau contact should inform the AA to clear the rewrite if substantive changes are made.

## Specific Constraints and Recommendations

### OVERLAPPING SYSTEMS

Two separate overlapping Correspondence Tracking Systems currently are maintained.

**Recommendation:** Combine the two existing systems. Preserve FO ability to keep privileged information separate from the ES system. Funnel all paper movements through one person and log through ES all movements of paper among FO segments (COS, Deputy, Special Assistant, etc.). Consolidated logging system should make this much easier.

### DATABASE SYSTEM FOR SCHEDULING

Scheduling for the Administrator is time-consuming and difficult to control.

**Recommendation:** LPA's Scheduler needs a scheduling database system to be shared between LPA, ES and the Administrator's Personal Assistant.

### TASKING

Turnaround time for paperwork from tasking to disposition takes too long.

#### Recommendations:

- Provide ES with machine-readable copies of all created documents, either through provision of a diskette or preferably shared/linked document libraries. This will enable rapid movement toward a "paperless" records management operation.
- Upgrade PCs and LANs to support electronic routing of documents and scanned image viewing.

### EIS DATA

There is a lack of up-to-date statistics and country information.

**Recommendation:** ES should issue guidance to the providing offices regarding the information expected to be routinely updated and available through the AFAS/EIS. Providers should concentrate on current status vs "static" data. Enforcement of the guidance by ES is crucial.

## **Specific Constraints and Recommendations**

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### **ES**

The principal concerns of the team have already been addressed by the following two actions:

- a. ES has agreed to eliminate the position of Chief, Operations Division B (currently vacant). That would leave one Operations Division containing all the information analysts. The vacant position would be filled by a clerical staff assistant.
- b. ES also has agreed to make the Information Management Coordination Specialist position a non-supervisory position.

The result is the elimination of two out of the three division chief positions and a considerable flattening of the ES supervisory structure.

<b>IMMEDIATE PERSONNEL ACTIONS</b>
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<b>The freeze on personnel actions adversely affects the ability of ES to rightsize effectively.</b>
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**Recommendation:** HRDM should immediately undertake the following as exceptions to the Agency's freeze:

- Recruit the Information Management Coordination Specialist
- Proceed with pending actions on SPAR #93=39 submitted to HRDM 9/24/93
- Upgrade GS-9 secretary position to GS-10 an Executive Assistant or Administrative Operations Assistant due to accretion of duties
- Recruit a writer/editor
- Replace Chief of Operations Division B with a clerical staff assistant
- Recruit a secretary for the White House Liaison position and backup for the Front Office.
- Drop Special Assistant position on the staffing pattern (vice Chris Phillips); maintain White House Liaison position.

#### **IV. ALTERNATE VIEWPOINT**

This report has identified a range of problems that prevent the Fifth Floor from working smoothly and with maximum efficiency. It also contains recommendations that, if implemented, have the potential to make enormous strides toward improving or resolving these problems. However, conducting this review and finalizing recommendations has presented unusual challenges for the team. Subtle, and not so subtle pressures exerted by various Fifth Floor factions, were key in this outcome.

There are two specific examples of recommendations agreed on by the team members at decision meetings which were altered at the eleventh hour as a result of specific incidents. The first of these alterations may since have been reconciled in line with the team's original recommendation.

- The team's recommendation was that the two Special Assistants working for the Chief of Staff be moved to operating offices, commensurate with their experience, once the AAs were in place, with the possibility of moving one sooner. The team considered their skills and experience more beneficial in the long term in an operational setting. Their value in the FO in the interim period was acknowledged as was the imminent arrival of a person to fill the vacant White House Liaison position. That person is also expected to serve a Special Assistant function. When word of the proposed recommendation got out, objections were voiced and this recommendation was subsequently generalized to call for a review of the roles, reporting lines and continued need for all FO Special Assistants at the end of six months. Such a recommendation would effectively negate any more immediate action.

The team has since been told, but unable to confirm with the principal involved, that further discussions have resolved the issue: one Special Assistant should stay until the AAs are in place and then be reassigned to an appropriate operational office, the other should be moved to an appropriate operational office by January 15, 1994. The team would support such resolution of the issue.

The second alteration is described briefly below.

- The team agreed to delete two vacant positions from the staffing pattern of the Front Office: a Special Assistant and a Secretary. The subsequent unplanned absence of one support staff member during the week the report was to be finalized was the impetus for rewriting the recommendation in favor of leaving the secretarial position on the pattern since it is the primary backup for FO secretarial coverage.

The original recommendation was based on team analysis of information gathered during the review exercise and knowledge of other pertinent recommendations the team planned to make to establish a dependable system for providing temporary, albeit more costly, clerical

## SUMMARY OF RECOMMENDATIONS AND TIMEFRAME FOR ACTION

RECOMMENDATION	ACTION OFFICE	TIMEFRAME TO ACCOMPLISH
<b>FRONT OFFICE</b>		
<ul style="list-style-type: none"> <li>● <b>ROLES:</b> Clarify roles and chain of command.</li> </ul>	FO, ES, HRDM	January 15, 1994
<ul style="list-style-type: none"> <li>● <b>TIME MANAGEMENT:</b> Administrator should delegate correspondence and activities to AAs and Bureaus.</li> </ul>	FO, ES	January 15, 1994
<ul style="list-style-type: none"> <li>● <b>STAFF WORK:</b> Ensure thorough staff work for informed decision-making by A/AID and DA/AID.</li> </ul>	ES, Bureaus	January 15, 1994
<ul style="list-style-type: none"> <li>● <b>SYSTEMS AND PROCESSES:</b> Ensure more timely, higher quality support for the Administrator.</li> </ul>	FO, ES, HRDM	January 15, 1994
<b>ADMINISTRATIVE MANAGEMENT</b>		
<ul style="list-style-type: none"> <li>● <b>MANAGEMENT:</b> ES should be the administrative manager of Fifth Floor. Hold regularly scheduled meetings of Fifth Floor supervisors</li> </ul>	ES, FO	December 15, 1993
<b>COMMUNICATIONS</b>		
<ul style="list-style-type: none"> <li>● <b>EXECUTIVE COMMUNICATIONS:</b> Encourage Agency team building through communications and other fora. Better communication to field. Improve relationships with USG agencies and departments.</li> </ul>	ES, FO, LPA  FO, ES, Bureaus	Ongoing
<ul style="list-style-type: none"> <li>● <b>AGENCY COMMUNICATIONS:</b> Ensure upper management reflects the current views and policy directives of new Administration.</li> </ul>	ES, Bureaus	Ongoing
<b>SCHEDULING TO ADMINISTRATOR</b>		
<ul style="list-style-type: none"> <li>● <b>SCHEDULING:</b> Hire a full-time professional scheduler. Enforce prompt turnaround response from Bureaus to taskers.</li> </ul>	FO, ES, LPA	November 29, 1993
<b>CORRESPONDENCE</b>		
<ul style="list-style-type: none"> <li>● <b>IMMEDIATE TRACKING:</b> Install new imaging equipment to make tasking more timely and efficient.</li> </ul>	IRM, M, ES	May 1, 1993
<ul style="list-style-type: none"> <li>● <b>CENTRALIZED SYSTEM:</b> Centralize receipt of faxes, letters, E-Mails, ways to task only once to Bureaus.</li> </ul>	FO, ES, LPA	December 10, 1993
<ul style="list-style-type: none"> <li>● <b>STANDARDIZED GUIDANCE:</b> Standardize formats for correspondence.  Develop macros or glossaries to format documents automatically.</li> </ul>	ES  IRM, ES	December 10, 1993  December 10, 1993

## AUTOMATION RECOMMENDATIONS

RECOMMENDATIONS	RECOMMENDED ACTIONS	ACTION OFFICE(S)	TIMETABLE
Create Comprehensive Correspondence Logs	Combine the two existing systems. Preserve FO ability to keep privileged information separate from ES system.	ES/FO/IRM/LP A	Short February 1, 1994
Make formats for letters and memoranda available in the EIS	Automate formats	IRM,M	January 14, 1994
Scheduling system for Administrator, other Principal, and Surrogates	Develop shared system with shared responsibilities	ES/FO/LPA/IR M	Interim - January 14, 1994 Full System - June 1, 1994
(Low Tech) Shorten turnaround time for paperwork from tasking to disposition	Change flow of LEG correspondence.  Create new approach to have ES provided with machine-readable copies of all created documents either through provision of a diskette or preferably shared/linked document libraries.	All ES customers	LPA process underway.  Ongoing Needs series of meetings with ES. Analysts, ES contacts to establish "quick fix."
(HiTech) Shorten turnaround time for paperwork from tasking to disposition.	Upgrade PCs and LANs in to support electronic routing of documents and scanned image viewing.	Start with ES, then FO/LPA, rest of Agency where applicable	5th Floor - July 1, 1994 Rest of Agency - October 1, 1994  Upgrades to the PCs scheduled for FY 94, but LAN and scanning equipment has to be identified and procured. IRM priorities may need adjusting.
Better quality and especially more timely briefing papers.	A/ES issue guidance to the providing offices regarding the information expected to be routinely available through AFAS/EIS. Should free the providers to concentrate only on current status vs. "static" data. Enforcement of guidance will be crucial.	ES/IRM	April 1, 1994  Requires designation of AFAS management process and lead Bureaus/Agency designee
AAs request for reading files	Put files on AFAS.	ES/IRM	Short  Same as above
Eliminate "too many cooks" syndrome in FO dealings with ES.	Funnel all paper movements through one person and log through ES all movements of paper among FO segments (COS, Deputy, Special Assistant, etc.) Consolidated logging system should make this easier.	FO/ES	Short  Need meeting with all FO (except A, DA, COS) and ES support staff to discuss backstops, etc.

## ROLES AND DUTIES OF PRINCIPALS

### Deputy Administrator

The Deputy is the full alter ego to the Administrator and, as such, assists in managing all aspects of the Agency's activities and operations, acting as Administrator in his absence. The Deputy sees all correspondence for the Administrator and is the primary advisor on Agency policy and operations.

### Counselor

The Counselor, as the senior-most career officer in the Agency, is a principal advisor to the Administrator. He will advise on foreign policy issues related to USAID and Agency legal issues including foreign assistance legislation.

### Chief of Staff

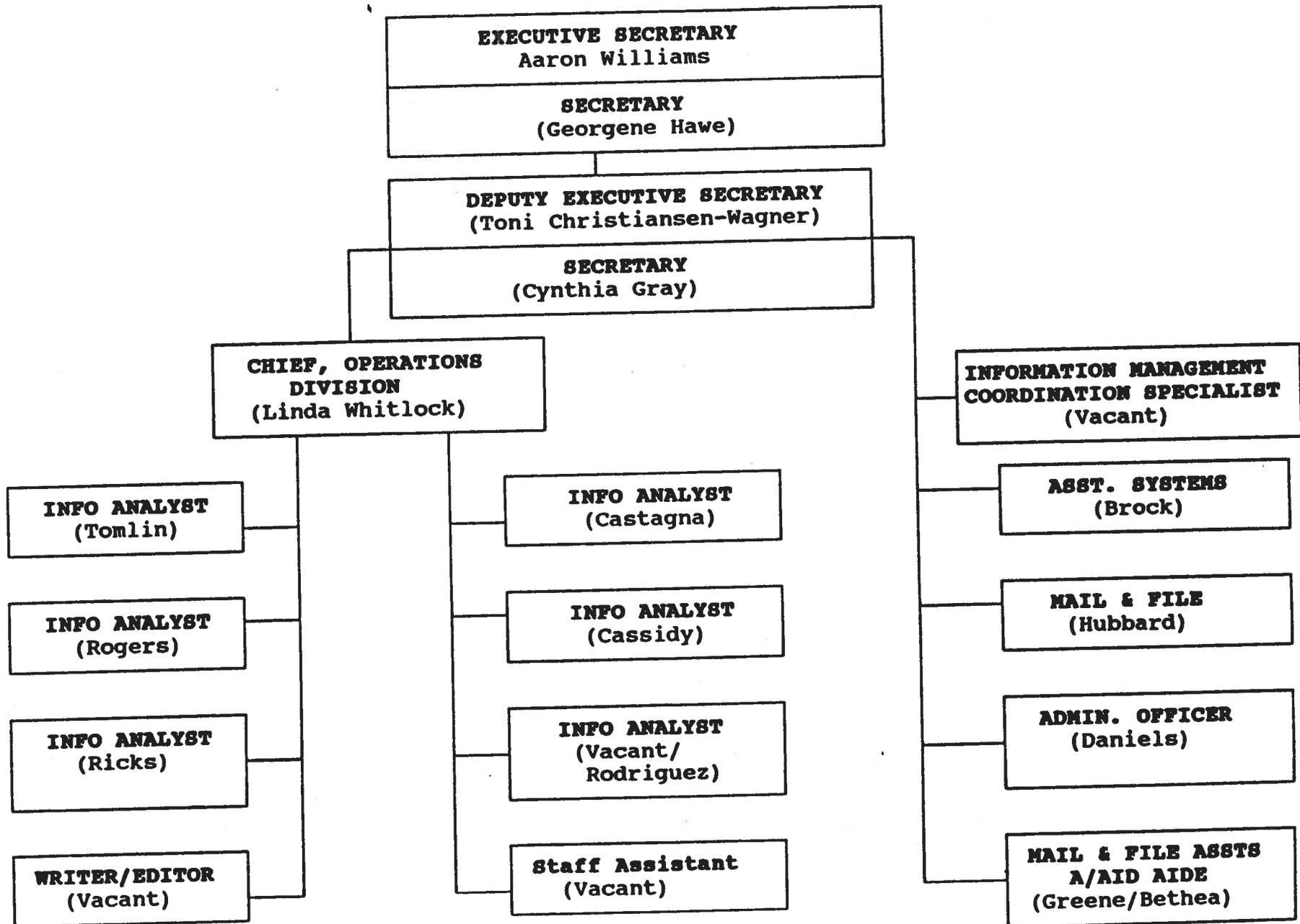
The Chief of Staff serves as a troubleshooter handling special assignments at the request of the Administrator, particularly in liaison with Congressional personnel, private groups and institutions and the White House. The Chief of Staff serves as a spokesperson for the Administrator and a liaison to operational offices.

### Executive Secretary

The Executive Secretary heads the Office of the Executive Secretariat. He serves as a senior advisor to the Administrator, carries out special projects at the Administrator's request and oversees the facilitation of communication upward and downward from the Administrator's Office. In order to function effectively, ES requires the full support of the Administrator and Fifth Floor staff not to bypass the Office's systems and processes. ES should take the lead in ensuring timely, high quality Agency communications and correspondence.

### Special Assistant to the Administrator

The Special Assistant reviews correspondence for content, tone and political conversations. She accompanies the Administrator to meetings and speaking engagements and briefs him on short notice or arranges for the appropriate person to do so. As Deputy Chief of Staff, the Special Assistant also provides supervision of non-principal FO staff and tracks the activities of other Agency principals.



**(Proposed Staffing Pattern)****OFFICE OF THE EXECUTIVE SECRETARY**

<b><u>POSNO</u></b>	<b><u>JOB TITLE</u></b>	<b><u>INCUMBENT</u></b>
100020003	Foreign Affairs Off	
100020006	Sup Program Officer	
100020010	Secretary	
100020015	Secretary (OA)	
100020019	Writer Editor	
100020020	Mgt. Info Spcl	
100020021	Administrative Off	
100020022	Adm Operations Spcl	
100020031	Administrators Aide	
100020035	Mail/File Assistant	
100020037	Sup Program Officer	
100020038	Staff Asst (Clerical)	
100020040	Information Anlst	
100020045	Information Anlst	
100020050	Information Anlst	
100020055	Information Anlst	
100020056	Adm Operations Asst	
100020060	Information Anlst	
100020065	Adm Operations Asst	