
**HANDBOOK
FOR
PROJECT
MANAGERS**

April 1980

NE Bureau
Agency for International Development
Washington, D.C. 20523

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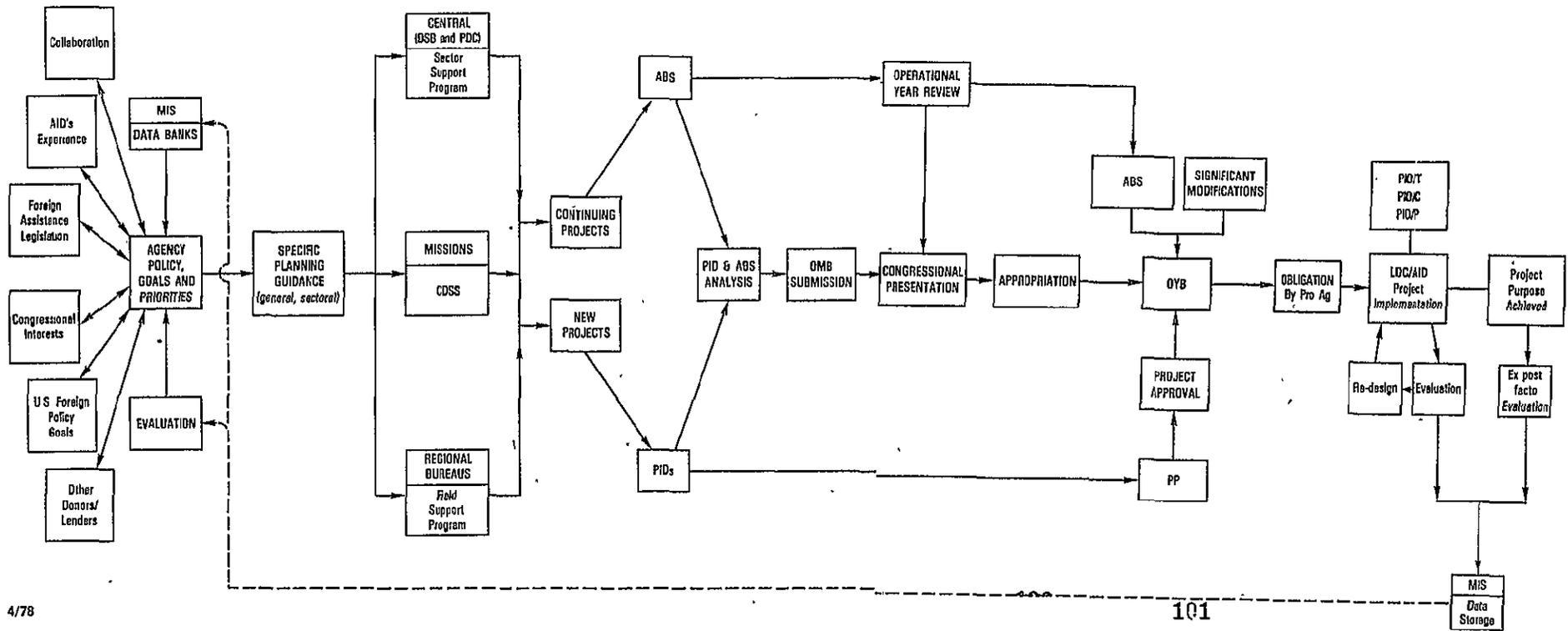
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PART I

PART I GENERAL INFORMATION

THE AID PROGRAMMING PROCESS



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CHAPTER 25

I.2.a

BUREAU FOR NEAR EAST
STATEMENT OF FUNCTIONS

25A. Summary of Bureau Functions

1. The Bureau for Near East (NE) is responsible for the planning, formulation, implementation management, and evaluation of U.S. economic assistance programs within the region -- except for programs which are administered centrally by the Bureau for Development Support (DS) in collaboration with the NE Bureau. The NE Bureau coordinates with: the Bureau for Program and Policy Coordination (PPC) and the Bureau for Private and Development Cooperation (PDC) on NE Bureau programs for which these Bureaus have specified responsibilities. The NE Bureau also coordinates AID participation in Joint Commission activities for countries within the region in the areas of science and technology, education and workerpower training, cultural exchange, agricultural development, trade and industry, and economy and finance.

2. In carrying out its responsibilities the Bureau looks to other appropriate AID Bureaus and Offices for support services in the areas of procurement, financial management, personnel, management planning, management operations, and data management. Additionally, the Bureau uses the professional and technical resources available in DS and PDC, and other AID Offices, other Federal agencies, and private organizations. Legal services are provided by the Office of the General Counsel (GC).

3. Bureau programs are administered within delegated authorities and in accordance with policies and standards established by the Administrator.

25B. Office of the Assistant Administrator (AA/NE)

1. The Assistant Administrator (or the Deputy)

a. Serves as a principal advisor to the Administrator on matters affecting Agency activities in the NE area.

b. Directs and supervises the activities of the Bureau and its overseas Missions and Offices.

c. Directs the formulation of U.S. economic assistance programs; approves programs and projects within the limits of delegated authority from the Administrator; and authorizes execution of development assistance agreements with NE countries.

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25B1

AA/NE

d. Exercises policy control and approval over reimbursable development programs (RDP) for those countries in the region where there are active bilateral programs; exercises Section 607 and related approval authorities for all countries in their regions.

e. Exercises policy control, within the region, over the Housing Investment Guaranty Programs which are administered by the Office of Housing.

f. Submits, through PPC for the Administrator's approval, an annual budget of proposed NE activities and assists in presenting the Bureau's program and budget to the Congress.

g. Approves and directs the allocation of available resources among NE Offices and overseas Missions.

h. Assures necessary liaison with other AID Offices, the Department of State, other U.S. and multilateral agencies, and officials of recipient countries; represents AID at NE country consortia or consultative group meetings.

i. Oversees the implementation of NE programs and projects; monitors performance under loan and grant agreements, contracts, and other operating agreements; and takes or recommends any required remedial action.

j. Represents AID before the press and the public, as required.

k. Serves as the AID representative on those Joint Commissions, subcommittees, and working groups which are concerned with Joint Commission activities for countries within the region.

2. The Special Assistant for Program Management (Compliance)

a. Conducts a broad operations appraisal of Bureau programs and advises AA/NE of problem areas or corrective action taken.

b. Coordinates NE responses to audit and other reports on NE activities.

c. Participates with other responsible offices in the development of procedures to strengthen AID program and project management and management control policies and systems and develops internal Bureau procedures required to carry out these policies and systems.

d. Maintains liaison with the Office of the Auditor General (AG), the General Accounting Office (GAO), Inspector General of Foreign Assistance (IGA), and the Operations Analysis and GAO Liaison Office (BF/OAG) of the Department of State.

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25C. Executive Management Staff (NE/EMS)

1. Provides management consultation and advice to AA/NE and Bureau senior staff, using SER resources as appropriate.
2. Represents NE in basic personnel decision-making for NE/W and overseas Missions.
3. Reviews and analyses the Bureau's Washington and overseas Operating Expense Budgets with Country Desks, the Office of Management Operations, and the Office of Financial Management.
4. Gives Bureau-level approval to position and organization actions requested by NE overseas organizations and Washington offices.
5. Advises AA/NE on the allocation of Bureau workforce limitations and operating expenses among Missions and NE Offices.
6. Approves all travel authorizations for Bureau employees and clears travel within NE for other official travel to the Near East Region.
7. Reviews internal NE operations to ensure adequate management, administrative, personnel, and logistic support; and facilitates resolution of Bureau management and operating problems, using appropriate AID organization resources as required.
8. Coordinates the provision of centralized management and personnel services with appropriate AID offices.
9. Coordinates NE administrative relationships with the Department of State's administrative elements of the Bureau of Near Eastern and South Asian Affairs, and the Bureau of European Affairs.
10. Prepares Bureau directives and coordinates Bureau clearance of AID directives.

25D. Office of Development Planning (NE/DP)

1. Office of the Director

- a. Advises and assists AA/NE in formulating the Bureau's program objectives and guidelines within the context of AID policies, reviewing regional and country economic assistance programs, allocating program and operating expense resources, presenting the Bureau's consolidated program and operating expense budget to the Agency and the Congress, and evaluating NE program and project activities.
- b. Maintains liaison with PPC, the Department of State, and other agencies in formulating policy, programs, and plans, and in reviewing projects.

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25D1

NE/DP

c. Provides organization and direction of the evaluation activities of the Bureau including:

(1) Review of Bureau and Mission programs to define areas requiring special attention to project design, and to develop Bureau plans to coordinate and address these needs.

(2) Review of project proposals to determine the validity of design, ability to be evaluated, and the parameters of evaluation.

(3) Review of participation in the development of scopes of work for feasibility and prefeasibility studies for complex project and sector proposals, and for sector analysis activities.

(4) Advice to the Bureau on AID evaluation policies and their implication for NE Bureau and Mission programs.

(5) Formulation of NE evaluation policies and plans.

(6) Review of sector plans and studies to identify goals for evaluation from a program standpoint, and relate these to project level activities.

(7) Incorporation of evaluative findings, which may improve ongoing or future projects, into recommendations for policy guidance, or program/project design criteria.

(8) Utilization and identification of opportunities to feed evaluative findings into project design, approval, redesign, and management processes.

d. Coordinates NE participation in the development and installation of new programming methodologies and systems.

e. Directs and supervises the activities of the component units of NE/DP.

2. Planning Division

a. Jointly with the Program Division, develops regional guidelines for the formulation of U.S. economic assistance programs and projects for NE countries.

b. Analyzes major economic problems of development and develops or collects statistical data on U.S. and other donor assistance in NE countries.

c. Analyzes national development plans and the status of current programs to carry them out.

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25D2

NE/DP

d. Participates in the review of sector and subsector analyses and strategies and in the planning, design, and review of programs and projects.

e. Maintains liaison with other organizations involved in providing economic and social development assistance to the NE area.

3. Program Division

a. Jointly with the Planning Division, develops regional guidelines for the formulation of U.S. economic assistance programs and projects for NE countries.

b. Reviews annual program budgets recommended by the Geographic Area Offices for compliance with Agency and regional guidelines and recommends action to the Assistant Administrator.

c. Directs and coordinates the preparation for program reviews and recommends country assistance levels.

d. Participates in the review of sector and subsector analyses and strategies and in the planning, design, and review of programs and projects.

e. Is responsible for the integration of the Bureau's program and operating expense budgets.

f. Directs and coordinates the Bureau's annual Congressional Presentation.

g. Administers regional program budgetary operations.

h. Prepares periodic and special program status reports.

25E. Office of Project Development (NE/PD)

1. Office of the Director

a. Manages AID/W participation in the development, administration, and supervision of loan and grant capital projects and sector/program support activities.

b. In the areas of NE/PD responsibilities, and in coordination with other offices as appropriate, ensures Bureau compliance with Agency policies, procedures, and regulations as they relate to project design and approval.

c. In coordination with the Special Assistant for Program Management, provides liaison with AG, GAO, and other audit, evaluation, and inspection groups; and prepares Bureau replies to reports received on audits and inspections relating to capital assistance and other responsibilities of the office.

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NE/PD

25E1

d. Directs and supervises the activities of component units of NE/PD.

2. Area Project Development Divisions

a. The area Project Development Divisions of NE/PD are the Egypt Division, the Syria, Jordan, *Lebanon*, and Israel Division, and the Near East/North Africa Division.

b. For assigned geographic areas, these Divisions:

(1) Serve as the primary action point for day-to-day project assistance operations including loan documentation, negotiation of loan agreements, and review of contracts.

(2) Participate in the review of sector and subsector analyses, and in the planning, design, and review of projects and sector loans.

(3) Chair or provide staff support to loan committees; coordinate the review, analysis, and implementation of loans in cooperation with Bureau and other AID/W Offices.

(4) Maintain liaison with U.S. Government agencies, agencies of foreign governments, international institutions, trade associations, U.S. banks, and business firms, for the planning and implementation of capital assistance activities.

(5) Undertake, in close cooperation with Mission staff and other components of NE/PD, or participate with other offices, as requested, in the development and appraisal of projects proposed for financing with development loans or with specifically appropriated grants.

(6) Conduct economic analyses of project proposals and conduct analyses of feasibility study loans.

* * 3. Project Development Support Division

a. Provides support to NE/PD geographic divisions and NE/TECH divisions in project design, development, implementation, appraisal and evaluation.

b. Carries out studies (directly or through contractors) related to the Middle East projects and programs.

c. Coordinates and advises NE Bureau staff on all environmental matters, including initial environmental examinations, environmental assessments and environmental impact statements; advises Missions and host-country Ministries and officials on appropriate action with respect to human environment and ecology. * *

* * New Material

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* * New Material

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25E3

NE/PD

d. Assists and advises NE Bureau project officers on host-country contracting, including form of contracts, contract provisions, evaluation of price provisions and AID policy with respect to host-country contracts.

e. Serves as the Bureau focal point for all matters relating to minority contracting; in coordination with the Office of Equal Opportunity Programs, identifies appropriate contractors for participation in AID-financed contracts or subcontracts.

f. Coordinates and advises NE Bureau staff on the role of private sector involvement in NE programs; and is responsible for project development and implementation in this area, as appropriate.

g. Assists and advises NE Bureau project officers with regard to complex implementation and financial planning in projects or programs.

h. In coordination with the Office of Financial Management, monitors and provides oversight on satisfaction of project terms and conditions including disbursement dates and loan delinquencies.

i. Prepares and disseminates Bureau reports on the status of project development, scheduling, implementation and review, and on other loan and grant activities as necessary.

j. Prepares reports and statistical materials on NE projects and programs to be used for Congressional Presentation preparation, and prepares briefing materials for the Administrator, Deputy Administrator, and other witnesses before Congressional Committees.

k. Coordinates meetings of the Near East Advisory Committee and the Working Group for Bilateral Assistance.

4. Engineering Division

a. Assist the Director, NE/PD, in the formulation of engineering policies, standards, procedures, and practices.

b. Provide engineering and technical advisory services to the NE Bureau in:

(1) Identifying the engineering policy and operational requirements for projects and programs originating within the Bureau.

(2) Insuring that engineering and technical requirements are adequately treated in the planning and programming stages.

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25E4b

NE/PD

(3) Making periodic field trips to monitor performance of field engineers and contractors and to review with and advise Mission Directors on overall program development and implementation.

25F. Office of Technical Support (NE/TECH)

1. Office of the Director

a. Provides technical services to the Bureau and its overseas organizations in sector analysis, project design, implementation monitoring, and program/project assessment.

b. In coordination with AA/NE and NE country desks, maintains liaison with agencies for foreign governments, international institutions, multilateral and bilateral donor groups, and the academic community on technical assistance activities.

c. Directs and supervises the activities of component units of NE/TECH.

* * 2. Social Analysis Division

a. Conducts socio/cultural analyses of NE country and sectoral programs and projects, specifically for all capital and technical assistance development activities where social soundness analyses are required, and to supplement other technical analyses such as environmental, economic and development administration analyses.

b. Assists other NE Bureau offices and other divisions of NE/TECH in the formulation and evaluation of socio/cultural research activities related to country program strategies and projects.

c. Reviews all NE Country Development Strategy Statements (CDSS) and Annual Budget Submissions (ABS) in terms of the forecasting, design, and implementation of needed social analyses for Bureau programs and projects.

d. Provides NE/Washington monitoring and managerial support for those NE region projects in which social research or the building of social research is dominant.

e. Maintains liaison with other AID offices and domestic and international development assistance agencies (e.g., World Bank, DHEW) concerned with the methodologies of social analyses and impact assessments. **

* * New Material

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25F2

NE/TECH

* *

f. In coordination with the Development Support Bureau (DS), provides substantive advice and input to technical analyses on interregional projects and research activities affecting the NE Bureau region in which there is a significant socio/cultural component.

g. Assists in the formulation of NE Bureau urban development programs and projects, and provides for Bureau liaison with DS/Urban Development.

3. Sector Planning and Rural Development Division

a. Assists NE Bureau offices and the other divisions of NE/TECH in the design and application of sectoral analyses, statistical procedures, systems analyses, computerization of sectoral analyses, statistical procedures, methodologies for Near East country program and project planning needs.

b. Assists other NE Bureau offices and the other divisions of NE/TECH in the planning, design and analysis of rural development, social affairs development and development administration activities for NE Bureau programs; and assists NE Bureau Missions in planning rural development strategies.

c. Reviews all NE Bureau CDSS and ABS documents in terms of technical sectoral, rural development and development administration activities.

d. Provides NE/Washington monitoring and managerial support for assigned NE Bureau activities in the areas of sectoral planning, rural development, social affairs development and development administration.

e. Maintains liaison with other AID offices and domestic and international development assistance agencies concerned with the methodologies of sectoral analysis/assessment and development administration and the processes of rural development.

f. Serves as the NE Bureau central point of contact with Private and Voluntary Organizations (PVOs) and AID's Office of Private and Voluntary Cooperation (PDC/PVC) and as the NE Bureau backstop for specifically assigned PVO activities in the region. * *

* * New Material

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NE/TECH

25F4

4. Technical Divisions

a. The technical divisions of NE/TECH are the Health, Population and Nutrition Development Division; the Human Resources and Science and Technology Division; and the Agriculture Development Division.

b. Each division is responsible for the following functions within its assigned areas:

(1) Develops technical guidance for and provides assistance to Bureau offices and NE Missions in the formulation of country assistance programs and projects.

(2) Assists field Missions in the development of sector strategies, and assesses the need for and supervises the design and execution of sector studies.

(3) Reviews all incoming technical assistance projects proposals within its assigned substantive areas, in terms of project objectives, conformity with the sector strategy, the adequacy of design, and the feasibility of implementation.

(4) As assigned, provides AID/W support for the design of technical assistance projects and of sector loan proposals.

(5) Provides AID/W monitoring of technical assistance project operations and advises AA/NE on significant developments.

(6) In association with the Office of Contract Management (SER/CM), coordinates the provision of contractor and PASA services for the Bureau.

(7) Identifies U.S. public and private sector resources for the implementation of approved projects and loans; and develops and maintains NE Bureau relationships on a multidisciplinary basis with professional groups, institutions, and individuals.

(8) Serves as the Bureau liaison on technical matters within its area of specialization; participates with other AID offices in the formulation of AID policies and objectives in the area of technical assistance.

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25F4b

NE/TECH

(9) In addition, the Sector Planning and Rural Development Division is responsible for the following sector planning functions:

(a) Acts as a staff resource to Bureau offices and the other divisions of NE/TECH in the development, design, and management of sector and subsector analyses and studies. As assigned, executes or supervises the execution of such analyses or studies in cooperation with the other division of NE/TECH.

(b) Reviews all incoming technical assistance project proposals in terms of project design, interdisciplinary relationships, and the need for broader sectoral analysis; and assists in the development of criteria for planning such studies.

(c) Maintains liaison with other AID offices concerned with the methodology of sector analysis and technical assistance.

(d) Coordinates NE review of interregional projects and represents the Bureau in the research and institutional grants approval process; also represents the Bureau on matters relating to AID research strategy.

25G. Geographic Area Offices

1. The Geographic Area Offices of the NE Bureau are:

a. The Office of Near Eastern/North African Affairs (NE/NENA), which contains the Afghanistan/Iran Desk, the Tunisia/Morocco Desk, the Cyprus/Portugal and Special Programs Desk, and the Yemen and Residual Affairs Desk.

b. The Office of Egypt/Israel Affairs (NE/EI), which contains the Egypt Desk and the *Israel Desk*.

c. The Office of Jordan/Lebanon/Syria Affairs (NE/JLS), which contains the Jordan Desk, Lebanon Desk, Syria Desk, and the *Regional Affairs/Persian Gulf Desk*.

2. For both Geographic Area Offices:

a. The Office of the Director:

(1) Oversees and ensures AID action on country programs in the area.

(2) Recommends the need for sector and subsector analyses in the area/countries.

(3) Directs and supervises the activities of the Country Desks.

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25G2a

NE/TECH

(4) Advises the AA/NE on the formulation of Bureau and Agency policies, strategies, and other matters requiring country expertise or affecting the area of responsibility.

(5) Interprets Agency and Bureau policies for Missions on program matters.

b. Each Country Desk:

(1) Maintains country expertise and advises AA/NE and other Bureau and Agency Offices on political, economic, and social matters relating to the country.

(2) Reviews and recommends action on the Mission's multiyear development assistance program submissions, in consultation with other Bureau and Agency Offices, as appropriate.

(3) Monitors program activities and ensures timely AID/W actions to implement approved activities in conformity with agreed-upon objectives and with U.S. policies and regulations.

(4) Provides backstopping service for the overseas Missions; ensures timely AID/W response to Mission requests.

(5) Reviews and recommends action on the Mission's annual program budget submissions; assists NE/DP in the preparation of the Bureau's budget proposal; and prepares Congressional Presentation materials.

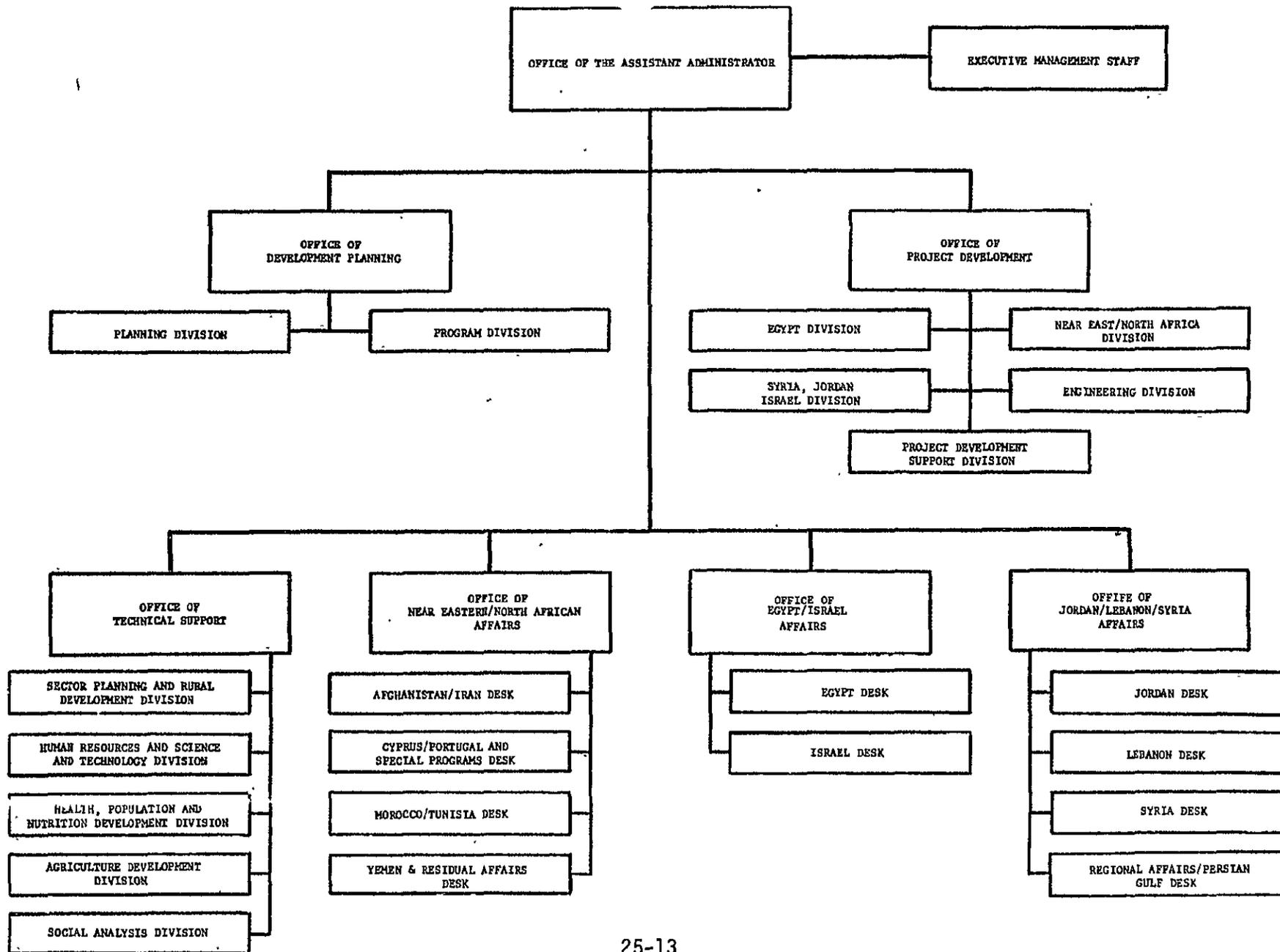
(6) Participates in the review and approval of all proposed assistance projects from the standpoint of suitability to the country or area development situation and assistance strategy, and compatibility with Agency and Bureau policy.

(7) Serves as the primary action office of the Bureau for the review, analysis, and authorizations of nonproject assistance activities.

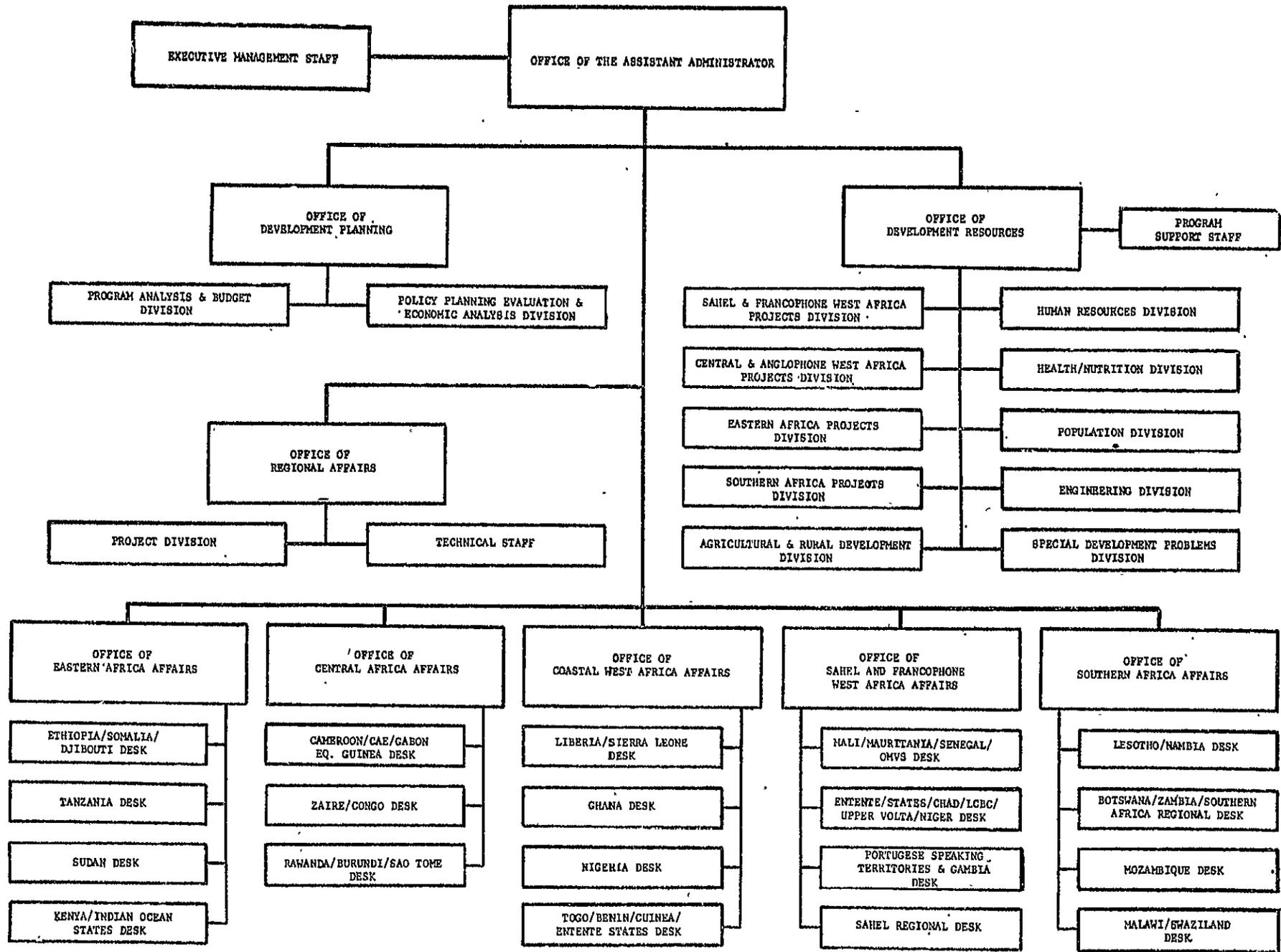
(8) Prepares all documentation for the U.S. delegation and recommends a U.S. position for Inter-Agency approval for Consultative Group meetings; collaborates with other Bureau offices on NE participation in Donor Group meetings on sector activities.

(9) Maintains relationships on geographic area matters with Embassy representatives, other donors and international organizations, other Bureaus of AID, and other U.S. Government agencies.

BUREAU NEAR EAST



BUREAU FOR AFRICA



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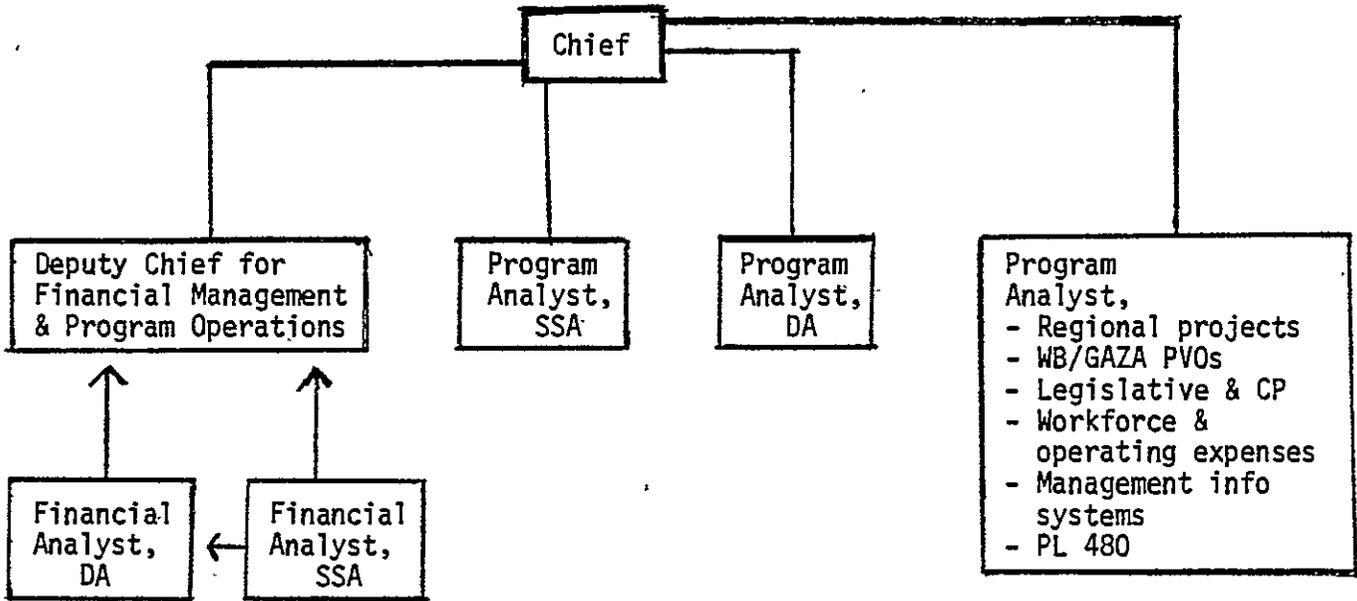
The Role of the Program Division, NE/DP

I.2.b

- Manage the Bureau's budgets (DA, SSA/ESF, OE, P D & S and other accounts).
- Provide assistance and guidance to Bureau personnel on programming and financial management matters.
- Participate with PPC and other Bureaus in preparation of Agency guidance on CDSS's and ABS: issue supplemental Bureau guidance.
- Participate in CDSS reviews, drafting of issues papers and reporting/ guidance cables to Missions.
- Manage ABS review process; analyze submissions (programs, OE, workforce requests), identify issues, develop priorities, prepare and defend Bureau submission to PPC, OMB.
- Participate with LEG and other Bureaus in preparation of annual Agency Congressional Presentation (CP) guidance; issue supplemental Bureau guidance. Manage the CP process; draft regional narratives, edit country narratives and activity data sheets; review tabular material. Manage the process of preparing briefing and back-up materials to prepare AA/NE for testimony. Support AA/NE during testimony; manage the preparation of Questions and Answers and inserts.
- Through participation in Project Review Committees, play both a reviewer and a service role. Review new project proposals (PIDs and PPs) for adequacy of design. Provide assistance to Project Officers in turning project ideas into approved projects. Special attention inter alia to budgets (cost factors and forward funding), evaluation plans and budgets, logical framework.
- Draft NEAC decision memoranda.
- Provide guidance on preparation of Congressional Notifications, (Advice of Program Change), and edit these.
- Prepare annual implementation plans (obligations schedule); monitor progress in meeting obligations targets; issue monthly reports on status of plan and budget requirements.
- Serve as Bureau focal point for expertise on PL 480.
- Serve as Bureau focal point for expertise on management information and accounting systems (PAIS, CPDB, DIU, ESDB). Represent Bureau viewpoint to central offices on the design and operation of such systems.
- Provide staff support and advice to Bureau management on a variety of programming, financial management, and policy questions.
- Track the progress of legislation of particular concern to the Bureau; prepare Executive Branch positions on legislative issues.

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Program Division: Organizational Chart



DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

AID General Notice
March 28, 1978
PPC

SUBJECT: Reorganization of the Bureau for Program and Policy
Coordination (PPC)

Effective immediately, the Bureau for Program and Policy Coordination (PPC) has been reorganized. Mr. Alexander Shakow is Assistant Administrator for Program and Policy Coordination. He is located in Room 3942 NS and can be reached on extension 20482. Mr. Charles Paolillo is the Deputy Assistant Administrator and is located in Room 3942 NS and can be reached on extension 21594. A revised organization chart is attached, and a complete revised functional statement will be published soon in the Agency Organization Handbook.

- I. The Bureau includes the following components:
 - A. An Office of the Assistant Administrator;
 - B. An Executive Management Staff headed by Merriam J. Jacobsen, who is located in Room 3665 NS and can be reached on extension 28342;
 - C. The Office of Policy Development and Program Review (PPC/PDPR) is responsible for formulation of Agency policies and strategies for substantive aspects of AID programs and projects; providing Agency guidance for the development of assistance strategies and the preparation of projects; undertaking reviews of assistance strategies and proposed projects for the Administrator; providing a central source of expertise on economic, social and political thought relevant to development; preparing and maintaining policy design and implementation Handbooks 1, 3 and 4, and proposing and managing research in support of the above.

The Associate Assistant Administrator for PDPR is Edward B. Hogan, who is located in Room 3938 NS and can be reached on extension 28594. John R. Eriksson is the Deputy Associate Assistant Administrator. He is located in Room 3889 NS and can be reached on extension 28928.

The Office is composed of five divisions as follows:

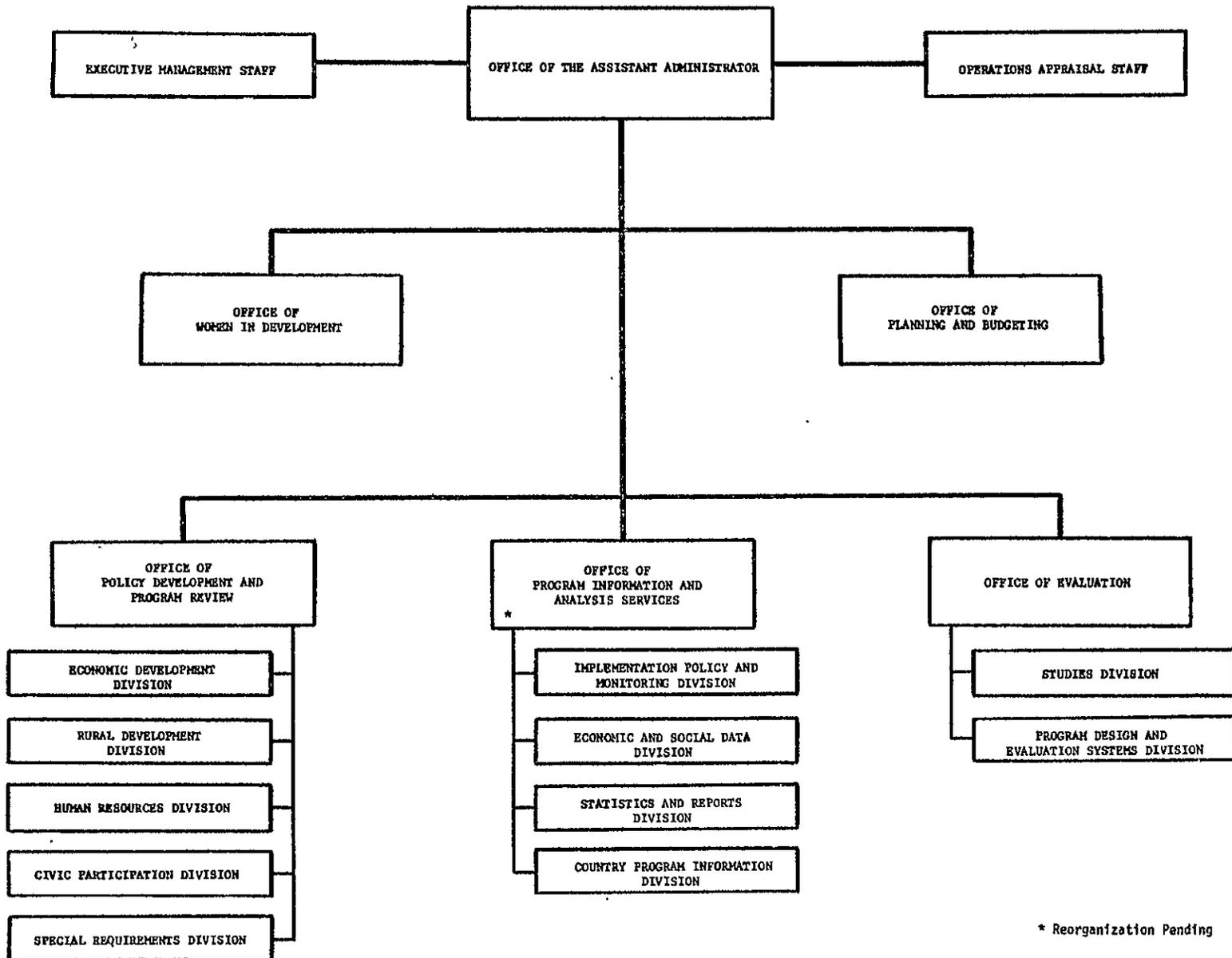
1. Rural Development Division; Chief, Douglas Caton, 3889 NS, 28928
 2. Human Resources Division; Acting Chief, Barbara Herz, 3892 NS, 28928
 3. Economic Development Division; Chief, Charles Montrie, 3898 NS, 28952
 4. Civic Participation Division; Acting Chief, Jonathan Silverstone, 3673 NS, 28249
 5. Special Requirements Division; Chief, Norman Cohen, 3938 NS, 28592
- D. The Office of Evaluation (PPC/E) is responsible for conducting evaluation research, socio-economic impact assessments, and program evaluation on development issues and programs as well as for applying the results and findings. It is headed by Associate Assistant Administrator, Robert J. Berg, who is located in Room 3938 NS and can be reached on extension 20211. Its two divisions are the Program Design and Evaluation Systems Division, led by Herbert Turner, in Room 3534 NS, on extension 20226 and the Studies Division, led by Allan Hoben (Acting), in Room 3673 NS, on extension 23420.
- E. The Office of Planning and Budgeting (PPC/PB) serves as the Agency's central program office and is the principal point of contact on operational, budgetary, and related policy matters between PPC and the geographic and central bureaus. The Regional Coordinator function has been incorporated into PB. The Associate Assistant Administrator for PB is Allison B. Herrick, who is located in Room 3756 NS and can be reached on extension 22088. Richard G. Birnberg has been designated the Deputy Associate Assistant Administrator effective April 9, 1978. He will be located in Room 3748 and can be reached on extension 29176.
- F. The Office of Women in Development (PPC/WID), formerly an independent office, has now been incorporated into PPC. It is the central point for providing policy and program guidance and reviewing Agency progress on the role of women in development. Arvonne S. Fraser is the Coordinator. She is located in Room 3243 NS and can be reached on extension 23992.
- G. The Operations Appraisal Staff (PPC/OAS), until recently an element of the Auditor General's Office, has also been incorporated into PPC. Serving the needs of Agency top management, the OAS conducts appraisals of projects and programs; undertakes management reviews of AID Missions and AID/W entities; and alerts management to existing or potential problems needing review and decision. Donald R. Finberg, the Associate Assistant Administrator, is located in Room 409, SA-16, and can be reached on 235-9671.

- H. The Office of Program Information and Analysis Services (PPC/PIAS) exercises "systems manager" responsibilities for the policy planning and program management information systems assigned to PPC, including the Country Program Data Bank (CPDB), the Economic and Social Data Bank (ESDB), and the Activity Identification and Classification System (AIC). George Bliss, the Associate Assistant Administrator, is located in Room 633, SA-14, and can be reached on 235-9170.
- II. The function of coordinating economic assistance, including both development and supporting assistance, with military assistance (previously performed by the Regional Coordinator and Military Assistance Staff of PPC) has been transferred to the Office of the Assistant Administrator, PPC. Mary Jane Heyl continues to carry out this function as the Security Assistance Coordinator and is located in Room 3898 NS and can be reached on extension 21346.
- III. The function of environmental coordination, previously performed in the Development Support Bureau's Office of Science and Technology, has been transferred to the Office of the Assistant Administrator, PPC. Albert Printz continues as Coordinator and is located in Room 3243 NS, on extension 21036.

DISTRIBUTION:

AID List H, Position 8
AID List B-1, Position 8

BUREAU FOR PROGRAM AND POLICY COORDINATION



* Reorganization Pending

memorandum

DATE: June 5, 1979

REPLY TO: William Gelabert, NE/TECH
ATTN OI: Selig A. Taubenblatt, NE/XPD

I.2.d

SUBJECT: NE/PD/PDS Functions

TO: NE/TECH and NE/PD Staff

Listed below are the functions which the Project Development Support Division (PDS) will perform for NE/TECH, NE/PD and project managers:

1. In cooperation with NE/TECH (Leola Thompson), collect status information, edit, print and distribute the two bimonthly project status reports; prepare reports, briefing materials and other documents for both offices which are based on the status reports.
2. Assist project managers with environmental matters including clearance of IIEs, preparation of scopes of work for EA's and EIS's, participation in the selection of contractors, review of EA's and EIS's, etc.; these services will be provided by the Environmental Coordinator, Stephen Lintner, and, in his absence, another officer of PDS.
3. Assist the two offices in complying with Agency policies regarding increased utilization of minority contractors by: assisting project managers in determining whether a minority contractor is available when direct AID contracts are to be used; mailing CBD notices and short lists to minority firms to insure that they have an opportunity to compete for host country contracts; maintaining contact with the Office of Minority Business and with Mr. Vinson's office; and developing other mechanisms to increase the opportunities for minority firms to obtain a share of Bureau business.
4. Log in PIDs, PPs, concept papers and other documents which are to be presented to the NEAC; monitor compliance with time limits for action on PIDs and PPs; schedule NEAC meetings and prepare and distribute NEAC agenda for the meetings; distribute PIDs and PPs to PPC; distribute copies of NE/PD's approved PPs to the field missions the Bilateral Assistance Subcommittee, etc.; receive, log and transmit mission approved PPs to project managers.



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5. Serve as a focal point for the collection of information on the project approval and project implementation process including handbook issuances, policy determinations, and other guidelines or instructions issued by the Agency or the Bureau; develop standard form documents and distribution lists; draft procedural instructions; prepare and keep up to date an NE Bureau Project Managers Handbook; provide or arrange training such as the seminars now being conducted.

6. Provide project managers with a source of assistance on host country contracting; PDS can assist in reviewing RFPs and contracts, developing prequalification and selection criteria and dealing with complex questions that arise in the process of host country contracting. (Chairpersons should review the membership of existing and new project committees to ensure that at least one member has the necessary host county contracting expertise.)

7. Handle NE/PDs responsibilities for regional projects either by appointing committee chairpersons when NE/PD has responsibility or serving on NE/TECH chaired committees.

8. Serve on NE/TECH chaired project committees in lieu of or in addition to an officer from the NE/PD geographic division in order to provide host country contracting expertise, provide additional person power when required or to represent NE/PD when the NE/PD geographic division does not have staff available. For committees already formed, chairpersons may wish to review membership and if the addition of a PDS representative appears to be desirable discuss the matter with the Chiefs of the PD geographic division and PDS. Project committees for new PIDs received will be formed in accordance with the memo dated May 1, 1979.

PART II

PART II PROJECT REVIEW AND APPROVAL PROCESS

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D. C. 20523

II.1

ASSISTANT
ADMINISTRATOR

MAY 04 1979

MEMORANDUM TO: All NE Mission Directors,
AID Representatives and Office Directors ✓

FROM : Joseph C. Wheeler, AA/NE *J. Wheeler*

SUBJECT : Transmittal of Project Documents

In view of the lack of clear guidelines, project documents (PID's, PP's, Project Agreements, PIO/T's, contracts, RFP's, etc.) are frequently sent to the wrong officers/offices or sent by airgram which is extremely slow and results in undue delays in the reproduction process. This has, on occasion, caused delays in AID/W actions and resulted in incomplete project files. Set forth below are current requirements for transmittal of documents which should minimize such problems in the future:

- a. Do not send documents by airgram. Reproduction and distribution of airgrams is very slow and since this is done by the central A.I.D. mailroom, the Bureau has no control over priority ordering of the work. The two-way memo seems to be the best way to send documents as this provides a record of both transmittal and receipt.
- b. Except as noted below, transmit all documents to the project committee chairperson listed in either the Status of Project Development Report or the Status of Project Implementation Report. These reports are updated regularly and sent to all missions. If the project is not yet in one of the reports, send the document to NE/PD/PDS, which will see that the project is included in the appropriate report and deliver the document to the proper office. (Project committee chairpersons are reminded that all PIDs and PPS must be logged in with NE/PD/PDS immediately upon receipt.)
- c. Exceptions to the above:
 - i. Mission Authorized Projects - In accordance with AIDTO Circ A-43 dated February 6, 1979, within five days of project authorization by a mission, the mission should send copies of the PP to NE/PD/PDS for distribution. An info copy may be sent to the committee chairperson.

- ii. Case Act Requirements - In accordance with AIDTO Circ A-352 dated August 22, 1978, two copies of Project Agreements are sent to Deputy General Counsel Leslie A. Grant immediately upon execution. An original signed copy should also be sent to the project committee chairperson. GC/NE will produce conformed copies of agreements, send the original signed copy to FM and provide conformed copies to the committee chairperson for further distribution.

- iii. Project Evaluation Reports - In accordance with AIDTO XA-486 dated December 2, 1979, Missions will continue to submit PES reports under airgram cover to assure logging and Agency-wide distribution. A.I.D. General Notice dated April 17, 1979, proposes to discontinue the airgram hecto form. However, we anticipate an alternative form will be substituted in order to maintain the current system of processing and distributing evaluation reports.

- d. Documents must be reproducible; i.e. clear black print on white paper. This is most important as our zerox machines and the offset equipment used in the Reproduction Unit can not copy the blue or brown print documents we receive from time to time.

I would like to take this opportunity to stress the importance of providing the Bureau with all project documentation regardless of whether Bureau action is required. We particularly have found missions remiss in sending implementation letters. Since these are used for a wide variety of important purposes such as extending terminal dates or recording mission approval or disapproval of critical actions taken by the host country it is important that we receive every one issued.

We must have complete files here in Washington in order to fulfill our responsibilities and to respond promptly when a mission requires Bureau assistance or action. The delegation of authority for project approval and implementation action makes this even more important. I would therefore appreciate your cooperation and request that you direct your officers to take the time to follow the rules set forth above and to send to the Bureau copies of all important project documents.

cc: All NE Division Chiefs and Staff

Clearances: DAA/NE:ADWhite
NE/PD:SATaubenblatt (draft)
NE/TECH:WGelabert (draft)
NE/DP:BLangmaid (draft)
GC/NE:JMullen (draft)

memorandum

DATE: August 8, 1979

REPLY TO
ATTN OF: NE/PD/PDS, Genease E. Shivers

SUBJECT: Distribution List for PIDs, PPs, Concept Papers, Etc.

TO: NE/PD AND NE/TECH Division Chiefs and Project Officers

Effective immediately, there will be just one distribution of PIDs, PPs, and other documents such as CDSS Sector Assessments, Concept Papers, etc. Distribution will be made upon receipt of the documents, in accordance with the attached, Standard List for Distribution of PIDs, PPs, Concept Papers, Proposals, etc. Individuals are responsible for retaining their copies for the NEAC review. Attached is a sample memo to be used for distribution.

An issues paper is still required for all documents. However, where there are no issues, a memo so stating should be prepared for distribution, as indicated in the attached list. The Project Committee should be placed at the end of the issues paper.

Issues papers are due three (3) days prior to NEAC for PIDs and other documents which will be treated as PIDs, and four (4) days prior to NEAC for PP's and other documents which will be treated as PPs. Attached is a sample transmittal sheet to be used for distribution of issues papers.

Attachments:

- 1) Standard Distribution List
- 2) Sample memo for distribution of documents.
- 3) Sample transmittal sheet for distribution of Issues Papers



STANDARD LIST FOR DISTRIBUTION OF PIDs, PPs, CONCEPT PAPERS,
PROPOSALS, ETC.

AA/NE, Mr. J. Wheeler, 6724, NS
DAA/NE, Mr. A. White, 6724, NS
AA/NE, Mr. E. Vinson, 6732, NS
NE/DP, Mr. B. Langmaid, 6723, NS (4)
NE/PD, Mr. S. Taubenblatt, 4720, NS
NE/PD, Mr. R. Bell, 4720, NS
NE/TECH, Mr. C. Weinberg, 4443, NS
NE/TECH, Ms. K. MacManus, 4443, NS
NE/TECH, Dr. P. Benedict, 6664, NS
NE/PD, Mr. L. Rosenberg, 4712, NS
NE/PD, Mr. S. Lintner, 4709, NS
NE/PD, Mr. M. Kingery, 4712, NS
*PPC/PDPR, Mr. B. Sidman, 3938, NS
*PPC/PB, Mr. J. Segal, 3731, NS
PPC/WID, Ms. A. Fraser, 3245, NS
GC/NE, Mr. J. Mullen, 2638, NS
CM/ROD, Mr. H. White, 733, SA-14
SER/COM/NE, Mr. R. Looper, 811D, SA-18
DS/DIU/DI, Ms. N. Thompson, 813, SA-18 (4)
NE/PD, Ms. G. Shivers, 4709A, NS (2)
NE/EI, Mr. G. Kamens AND Desk Officer (IF EGYPT OR ISRAEL PROJECT)
NE/JLS, Mr. B. Richardson AND Desk Officer (IF JORDAN, LEBANON, OR
SYRIA PROJECT)
NE/NENA, Mr. P. Morris AND Desk Officer (IF NEAR EASTERN OR
NORTH AFRICAN PROJECT)

Approximately 29 PLUS Project Committee.

*PLEASE BRING COPIES FOR SIDMAN AND SEGAL TO GENEASE SHIVERS
IN ROOM 4709A/NS.

Add to the above basic list other names that are relevant to
the project.

Don't forget to send me copies of NEAC reporting cables.

memorandum

DATE: Date:

REPLY TO
ATTN OF: NE/PD or NE/TECH (Project Officer's Name)

SUBJECT: PID - School Construction II - Jordan (278-0232)

TO: See Distribution

The subject document was received in AID/W on June 21, 1979.

Distribution:

(Use attached List)



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

205

OPTIONAL FORM NO 10
(REV. 7-76)
GSA FPMR (41 CFR) 101-11.6
5010-112

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

NEAR EAST ADVISORY COMMITTEE MEETING

DATE :
TIME : See Agenda
PLACE: 6439 NS

SUBJECT: PID - School Construction II - Jordan (278-0232)
ISSUES PAPER

The Near East Advisory Committee will meet as scheduled above to discuss the subject project and the attached Issues Paper.

Please refer all questions to the Chairperson.

Attachment:
Issues Paper

DISTRIBUTION:

(Use Attached List)

INFORMATION MEMORANDUM NO. 3

II.2.b
UNITED STATES GOVERNMENT

memorandum

DATE: August 8, 1979

REPLY TO
ATTN OF: NE/PD/PDS, Genease E. Shivers *ES*

SUBJECT: Mission Approved Project Papers

TO: NE/PD and NE/TECH Division Chiefs and Project Officers

Mission approved project papers are to be logged in with me on receipt in AID/W. Distribution should be made in final green cover form in accordance with the attached "Distribution List for Approved Projects".

Attachment:
a/s



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

207

OPTIONAL FORM NO. 10
(REV. 7-76)
GSA FPMR (41 CFR) 101-11.6
5010-112

DISTRIBUTION LIST FOR APPROVED PROJECT PAPERS

	<u>Over \$5 million</u>	<u>\$5 million & under</u>
1. AA/NE	2	2
2. NE/DP	2	2
3. Director, NE/PD	2	2
4. Director, NE/TECH	2	2
5. Internal Distribution	15*	15*
6. NE/PD/PDS (GShivers)	22	10
7. NE/DESK	3	3
8. Mission	15-25**	15-25**
9. PPC/WID	1	1
10. CM/ROD/NE	1	1
11. SER/COM/NE	1	1
12. DS/DIU/DI	4	4

* - The NE/PD project officers will make appropriate distribution to other A.I.D. offices.

** - 25 copies for USAID/Cairo only.

PLEASE USE STANDARD DISTRIBUTION LIST FOR ADDRESSES.

NE/TECH officers should consult Leola Thompson regarding this list.

10/16/79

THE PROJECT PROCESS IN THE NEAR EAST BUREAU

The project development, review and approval process used in the Near East Bureau (NE) is structured upon the guidelines contained in AID Handbook 3: Project Assistance. Regardless of the type of assistance involved, i.e., development loans or grants, or Supporting Assistance, etc., NE endeavors to adhere to the same integrated and standardized procedure. The principal steps in the procedure are 1) preparation and review of Project Identification Documents (PID); 2) preparation and review of Project Papers (PPs); and 3) Project authorization and obligation of funds.

In certain instances, especially for projects involving Supporting Assistance countries (Egypt, Israel, Jordan, Lebanon, Portugal, and Syria) the normal AID process may be somewhat modified or accelerated. Generally, however, it takes from twelve to eighteen months to conceptualize, develop, review, authorize, and obligate funds for a project in the NE region. Certain of the key steps in this project process are integrated with the U.S. Federal Government budget cycle.

Primary responsibility for generating project ideas and producing project documentation rests with the Bureau's field missions. These Missions, in the ideal case, accept embryonic project ideas from the host governments, develop and refine them in close cooperation with the host country and with AID/W or consultant assistance as necessary. Projects up to \$5 million are approved in the field by the USAID Director, except when missions lack the technical capacity or where significant Agency policy considerations or waivers must be taken into account. Mission Directors can, at his discretion, refer PPs to Washington for approval.

Project Identification Document

The Project Identification Document (PID) represents the earliest possible formalization of a project idea. It presents a candid discussion of the project's merits and potential problems and includes a preliminary project description and very preliminary technical, social, financial, and environmental analyses. The PID is generally produced by the field Mission with little if any outside assistance. It presents a project idea within the larger framework of activities in a priority sector. The basic development strategy for that sector generally has been previously approved in the Country Development Strategy Statement (CDSS).

Within a period of thirty days from receipt of a PID in the NE Bureau, it is reviewed by the Project Committee, an issues paper is developed, and both are reviewed by the Near East Advisory Committee (NEAC). The AID/W Project Committee is usually composed of representatives from the Office of Development Planning (NE/DP), the Office of Project Development (NE/PD), the Office of Technical Support (NE/TECH), the

General Counsel's office (GC/NE) and the country desk. The Project Committee is responsible for flushing out major project issues for review during the NEAC meeting, which is chaired by the AA/NE or his Deputy using the issues paper as the agenda. Each PID is either approved or disapproved for project development and the decision cabled to the field within a few days of the meeting along with appropriate justification. In cases where the PID is approved, the NEAC review cable will always include guidance for development of the PP and will frequently suggest fundamental modifications to the conceptualization of the project. In some cases the NEAC may request some interim project documentation before approving development of the PP, but approval of the PID generally means that the NE Bureau agrees to finance the project subject to final feasibility including all necessary analyses, appropriate implementation planning and the availability of funds. At the PID-approval stage, a decision is made by AA/NE whether approval authority should be withheld for reasons noted above.

Project Paper

On the average, a project paper is ready within 12-14 months of PID approval. It provides a detailed project description and a synthesis of extensive assessments dealing with the technical, social, financial, and economic aspects of the project. It also clearly outlines how the project will be implemented. The PP should provide a record of the project's history, reflect agreement with the recipient country on the scope of the project, and generally serve as a self-sufficient basis for the NE Bureau's judgment of project viability. While preparation of the PP, like the PID, is normally a Mission responsibility, the NE Bureau frequently assists the Missions through TDYs by direct-hire Bureau personnel or specialized consultants.

When projects are approved in AID/W, the NE Bureau completes Project Committee and NEAC reviews on PPs within thirty days of receipt in AID/W. Again the NEAC meeting is chaired by the AA/NE or his Deputy and is, generally, structured around an issues paper prepared by the Project Committee. A representative of the NE Mission is frequently there to field questions. Circumstances surrounding each project call for different NEAC responses to the PP; the papers may be approved without reservation, approved subject to minor modifications, or disapproved pending more detailed analysis of particular issues. With few exceptions Project Papers which reach the NEAC review stage are eventually approved for funding.

Projects up to \$5 million that are approved in the field are reviewed by a USAID Project Review Committee, chaired by the Mission Director and approved by him for funding. Copies of all approved PPs are forwarded to NE following approval.

All projects exceeding \$5 million are forwarded to the Bilateral Assistance Committee (BAS) for information.

Project Obligation

Armed with a signed project authorization, the NE field Mission in cooperation with an AID/W or Regional Legal Advisor prepares a Project Agreement for negotiation with and signing by the host country. Under recent legislation, no project funds are obligated and the project is not considered ready for implementation until the Project Agreement is signed. Normally a Project Agreement can be drafted, negotiated and signed within one month of authorization. If the host country requires legislative approval of the Agreement, the process can, of course, take much longer.

STEPS IN NEAR EAST BUREAU PROJECT PROCESS

<u>Average Delay Required (Days)*</u>		<u>Action</u>	<u>Responsible AID Offices</u>
<u>Cumulative</u>	<u>Additional</u>		
0	Start	Conceptualizing discussions with host country	USAID
30	30	PID drafted and revised	USAID
40	10	PID transmitted to NE/W	Pouch
41	1	PID receipt logged and NEAC scheduled	NE/PD
43	2	PID duplicated and distributed to Project Committee	NE/PD or TECH
48	5	PID reviewed by Project Committee (includes lead time for reading)	NE
55	7	PID issues paper prepared, duplicated and distributed	NE/PD or TECH
59	4	PID NEAC review (includes lead time for reading)	NE
66	7	PID NEAC review cable transmitted	NE/PD
86	20	Mission reviews cable and requests assistance in conducting analyses and drafting PP's	USAID
131	45	PIO/Ts issued	NE/PD/TECH
151	20	PP analysis team fielded	NE/PD/TECH
211	60	PP analysis conducted and first draft prepared in field	USAID-AJD/W-Consultants
241	30	Consultant's finalize reports	---
261	20	Content of first draft and consultant reports discussed with host country	USAID

291	30	PP second draft prepared	USAID
301	10**	PP transmitted	Pouch
302	1**	PP receipt logged and NEAC scheduled	NE/PD
305	3**	PP duplicated and distributed to Project Committee	NE/PD/TECH
310	5	PP reviewed by Project Committee (includes lead time for reading)	NE or USAID
317	7	PP issues paper prepared, duplicated and distributed for NEAC	NE/PD-TECH or USAID
324	7	PP NEAC review (includes lead time for reading)	NE or USAID
331	7**	PP NEAC review cable transmitted	NE/PD or TECH
339	8	Assuming no additional field input required, PP revisions made in AID/W, PP duplicated and distributed to BAS (over \$5 million) for information	NE/PD
346	7	Authorizing documents cleared, signed and forwarded to USAID	AA/NE or USAID Director
366	20	Project Agreement negotiated and revised	USAID
373	7	Project Agreement signed and funds obligated	USAID

* Assumes ideal circumstances with minimum delays but does include weekends.

** When projects are authorized in the field, these steps may not be necessary.

UNCLASSIFIED
Department of State

OUTGOING
TELEGRAM

PAGE 01 OF 02 STATE 101215
ORIGIN AID-31

7800

STATE 101215

II.3.b

INFO OCT-81 NEA-87 EUR-12 EB-08 /059 R

DRAFTED BY AID/NE/PO:ORMANDEL:JFP
APPROVED BY AID/AA/NE:JCWHEELER
AID/NE/PO:SATAUBENBLATT (DRAFT)
AID/NE/TECH:VGLABERT (DRAFT)
AID/NE/DP:BLANGHAID (DRAFT)
AID/NE/DP:PSELLAR (DRAFT)
AID/DAA/NE:ADWHITE
DESIRED DISTRIBUTION
1T ACTION NE 15 CHRON 1 2 3 8 INFO OL PPC FM OA 31P

R 211428Z APR 79
FM SECSTATE WASHDC
TO AMEMBASSY AMMAN
AMEMBASSY ANKARA
AMEMBASSY BEIRUT
AMEMBASSY CAIRO
AMEMBASSY DANASCUS
AMEMBASSY KABUL
AMEMBASSY LISBON
AMEMBASSY NICOSIA
AMEMBASSY RABAT
AMEMBASSY SANA
AMEMBASSY TUNIS

UNCLAS STATE 101215

AIDAC

E.O. 12065 N/A

TAGS:

SUBJECT: GUIDANCE ON PREPARATION OF PID'S
REFERENCE: AIDTO CIRCULAR A-43

1. SUMMARY: GUIDANCE CONTAINED HANDBOOK 3, CHAP 4, DOES NOT TAKE INTO ACCOUNT ENHANCED IMPORTANCE PID DUE TO DELEGATION OF PROJECT APPROVAL AUTHORITY TO THE MISSIONS. REPAIR CONTAINS INDICATIONS OF WHAT PID'S MUST CONTAIN. THIS MESSAGE PROVIDES ADDITIONAL GUIDANCE.

2. AS NOTED IN REPAIR, PID'S FOR PROJECTS WITH ESTIMATED LOP FUNDING UP TO \$5 MILLION SHOULD INDICATE WHETHER MISSION DIRECTOR PROPOSES EXERCISE HIS APPROVAL AUTHORITY. IN ADDITION, PID'S MUST LIST MISSION PROJECT COMMITTEE MEMBERS (I.E., THE TECHNICAL SKILLS-AVAILABLE IN THE MISSION FOR PROJECT DESIGN) AND MEMBERS OF MISSION SENIOR LEVEL ADVISORY COMMITTEE WHICH FORMALLY AND FINALLY REVIEWS PROJECT PAPER AND RECOMMENDS COURSE OF ACTION TO MISSION DIRECTOR. ALL MISSIONS MUST HAVE SUCH A SENIOR LEVEL REVIEW COMMITTEE. DISCIPLINE PROVIDED BY FORMAL REVIEW IS BENEFICIAL AND ENSURES THAT ALL ELEMENTS

OF THE MISSION HAVE HAD A CHANCE TO CONTRIBUTE TO PROJECT. IT ALSO ENSURES A THOROUGH AIRING OF ANY ISSUES WHICH MUST BE DEALT WITH BEFORE THE MISSION DIRECTOR APPROVES PID OR PP.

3. PID'S WILL HAVE TO BE MORE COMPLETE IN DESCRIBING DEVELOPMENT PROBLEM BEING ADDRESSED AND HOW THE CHOSEN PROJECT INTERVENTION(S) DEALS WITH PROBLEM. THIS WILL REQUIRE MORE GROUNDWORK PRIOR TO PREPARATION OF PID'S. SINCE WE NEED PID'S PRIOR TO PREPA-

RATION OF CONGRESSIONAL PRESENTATIONS, MISSIONS WILL HAVE TO PROVIDE ADDITIONAL LEAD TIME IN THEIR PROGRAM PLANNING AND PROJECT DEVELOPMENT PROCESSES.

4. MISSION DIRECTORS SHOULD KEEP IN MIND THAT AT PID STAGE, AA/NE WILL DECIDE WHETHER SUBSEQUENT PP APPROVAL OF SPECIFIC PROJECT IF UNDER \$5 MILLION SHOULD BE RETAINED BY MISSION. FOR PROJECTS BETWEEN \$5 AND 10 MILLION HE WILL DECIDE WHETHER TO DELEGATE APPROVAL AUTHORITY TO THE MISSION ON EXCEPTION BASIS, IF SO REQUESTED. IT IS VERY IMPORTANT MISSIONS SPELL OUT IN DETAIL CAPACITY TO DESIGN AND DEVELOP THE PROJECT INCLUDING IN-HOUSE AND OUTSIDE SKILL TO BE APPLIED TO PROJECT DESIGN. THIS PARTICULARLY IMPORTANT FOR NEW, INNOVATIVE PROJECTS.

5. FOLLOWING COMMENTS ARE BASED ON PID'S REVIEWED AT NEAC'S WHICH WE HOPE WILL BE HELPFUL TO MISSIONS:

A. WHILE HANDBOOK 3, CHAP 4, DOES NOT FULLY REFLECT ALL THAT THE NE BUREAU NOW DEEMS TO BE NEEDED IN A PID, IT DOES PROVIDE A GOOD OUTLINE AND A USEFUL DISCUSSION OF WHAT SHOULD BE INCLUDED UNDER EACH HEADING. WE HOPE THAT FUTURE PID'S WILL COMPLY MORE CLOSELY AND CONSISTENTLY WITH THE HANDBOOK.

B. - MANY PID'S REVIEWED HAVE BEEN HIGHLY CONCEPTUAL. THEY IDENTIFY SUBSECTOR, SPECIFIC AREA WITHIN SUBSECTOR OR INSTITUTION WHICH REQUIRES ASSISTANCE IN ORDER TO ACHIEVE A DEVELOPMENTAL GOAL. THEY DO NOT ACTUALLY DESCRIBE A PROJECT. A CLEAR STATEMENT OF OBJECTIVES (GOAL AND PURPOSE), THE MEANS FOR ACHIEVING THE OBJECTIVES (INPUTS AND OUTPUTS) AND THE MEANS FOR MEASURING ACHIEVEMENT (EVALUATION PLAN) ARE ESSENTIAL. IN ADDITION, A DESCRIPTION OF POLICY CHANGES DESIRED AS RESULT OF PROPOSED PROJECT, IMPORTANCE OF THESE CHANGES FOR SUCCESS OF THE PROJECT AND LIKELIHOOD OF ACHIEVING THESE CHANGES

SHOULD BE INCLUDED. A PRELIMINARY LOG FRAME OUTLINED IN THE PID WOULD ENSURE THAT A MORE COMPLETE PICTURE OF A PROJECT WOULD BE PRESENTED. (MISSIONS ARE ENCOURAGED TO CONTINUE SUBMITTING CONCEPT AND SECTOR PAPERS TO AID/W FOR REVIEW AND DISCUSSION WHEN APPROPRIATE.)

C. OFTEN PID'S DESCRIBE PROJECT INPUTS AND OUTPUTS. HOWEVER, IT IS SOMETIMES DIFFICULT TO TELL HOW INPUTS WILL RESULT IN OUTPUTS, AND HOW OUTPUTS WILL RESULT IN ACHIEVEMENT OF GOAL AND PURPOSE. THERE IS A PROCESS WHICH OCCURS IN IMPLEMENTING THE PROJECT WHICH MUST BE DESCRIBED TO HAVE A COMPLETE PICTURE. TIED TO THIS IS THE NEED FOR PID TO CONTAIN DESCRIPTION AND PRELIMINARY ASSESSMENT OF STRENGTHS AND WEAKNESSES OF IMPLEMENTING INSTITUTION(S) WHICH HAVE A BEARING ON PROJECT DESIGN AND IMPLEMENTATION.

D. APPROVAL OF A PID IS APPROVAL FOR THE AGENCY TO EXPEND RESOURCES ON FURTHER STUDY AND DESIGN OF THE PROJECT. THEREFORE, NECESSARY TO PROVIDE SUFFICIENT ECONOMIC, SOCIAL, TECHNICAL, AND OTHER INFORMATION TO INDICATE THAT THERE IS A REASONABLE LIKELIHOOD THAT THE PROJECT WILL PROVE TO BE FEASIBLE TAKING INTO ACCOUNT FACT THAT MUCH OF THE DATA WILL BE PRELIMINARY AT PID STAGE. A DISCUSSION OF ALTERNATIVE APPROACHES AND PROJECTS IS NEEDED IN THIS CONTEXT. ALSO, A DISCUSSION OF THE BENEFICIARIES, AS SET FORTH IN THE HANDBOOK GUIDANCE, IS NEEDED.

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PAGE 02 OF 02 STATE 101215

E. COST ESTIMATING IS PERHAPS MOST DIFFICULT AREA IN PREPARING A PID BUT WITH A GOOD DESCRIPTION IT SHOULD BE POSSIBLE TO SPECIFY IN REASONABLY PRECISE TERMS THE INPUTS THAT THE PROJECT MAY REQUIRE AND COST OUT THE PROJECT BY USING RULES OF THUMB; FOR EXAMPLE, THE COST OF A PARTICIPANT OR A MAN-MONTH OF CONSULTANT SERVICES. MISSIONS ARE WELCOME TO REQUEST DATA FROM BUREAU ON THE COST OF COMPARABLE PROJECTS OR INPUTS IN OTHER COUNTRIES. MISSIONS SHOULD KEEP IN MIND THAT COST ESTIMATES CONTAINED IN PID'S ARE BASIS FOR PROJECT COSTS IN CONGRESSIONAL PRESENTATIONS. THOUGH PRECISE ESTIMATES CANNOT ALWAYS BE MADE AT PID STAGE, WE MUST DO BEST WE CAN TO LIMIT NEED FOR SUBSEQUENT NOTIFICATIONS.

F. SECTION SETTING FORTH PROJECT PREPARATION STRATEGY AND THE RESOURCES REQUIRED TO IMPLEMENT

STRATEGY OF IMPORTANCE TO BUREAU IN DETERMINING WHETHER IT CONCURS IN A MISSION'S JUDGMENT THAT IT HAS THE CAPABILITY TO PREPARE AND APPROVE THE PROJECT. IN THIS SECTION THE MISSION WILL INDICATE WHAT RESOURCES IT HAS TO BRING TO BEAR ON THE PROJECT AND WHAT RESOURCES IT NEEDS FROM AID/W OR ELSEWHERE. ESTIMATED TIMING OF AID/W AND/OR OUTSIDE ASSISTANCE IS MOST CRITICAL. MISSIONS MUST BE SENSITIVE TO THE LENGTH OF TIME IT TAKES UNDER THE BEST OF CIRCUMSTANCES FOR AID/W TO LOCATE PERSONNEL - WITHIN AID, U.S. GOVERNMENT, PRIVATE ORGANIZATIONS. WHERE OUTSIDE CONTRACTING IS REQUIRED, MISSIONS MUST ALLOW SUFFICIENT TIME. IN THIS SECTION WE WILL LOOK CLOSELY AT MANNER IN WHICH MISSIONS PROPOSE TO OBTAIN INFORMATION ON AND COMPLETE THE ANALYSIS OF PROJECT'S ENVIRONMENTAL AND SOCIAL ASPECTS.

G. NEW INSTRUCTIONS WILL SOON BE ISSUED ON AID ENVIRONMENTAL REGULATIONS. WHEN THESE INSTRUCTIONS ARE ISSUED, IEE CHECKLIST WILL NOT BE NEEDED FOR CERTAIN TYPES OF PROJECTS WHICH CLEARLY HAVE NO SIGNIFICANT IMPACT. A BRIEF STATEMENT IN THE PID ITSELF WILL SUFFICE. SERIOUS ENVIRONMENTAL ISSUES MUST BE DISCUSSED IN ISSUES SECTION OF PID AND PROPOSED METHOD FOR PREPARING EA OR EIS, IF NEEDED, MUST BE INCLUDED IN THE PROJECT PREPARATION STRATEGY SECTION.

H. WE DO NOT EXPECT ALL ISSUES TO BE RESOLVED BEFORE THE PID IS SUBMITTED TO BUREAU. HOWEVER, WE DO EXPECT ALL SERIOUS ISSUES TO BE RAISED. ISSUES WHICH AFFECT THE DECISION TO PROCEED WITH PROJECT DEVELOPMENT SHOULD INCLUDE THE MISSION'S RECOMMENDATION FOR RESOLUTION. ISSUES TO BE RESOLVED DURING THE PROJECT DEVELOPMENT PROCESS SHOULD BE SO IDENTIFIED, ACTIONS REQUIRED AND ACTION OFFICES DESIGNATED. THE RESOLUTION OF THESE ISSUES SHOULD BE CLOSELY RELATED TO THE PLAN SETTING FORTH THE MANNER AND TIMING OF THE PROJECT DESIGN PHASE. CHRISTOPHER

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UNITED STATES GOVERNMENT

*Memorandum*II.4.a

TO : All NE/TECH and NE/PD Staff

DATE: May 1, 1979

FROM : NE/PD; Selig A. Taubenblatt
NE/TECH; William Gelabert

SUBJECT: Formation of Project Review Committees

1. Project Review Committees (PRC's) will be established on receipt of a PID from the Mission or earlier if appropriate (e.g. for review of concept or sector papers; when AID/W action is required to assist Missions in drafting PID's etc.). Normally, the assignment of a PID to TECH or PD and to the appropriate division within the office is self-evident. Questions regarding the assignment of projects to TECH or PD should be referred to the office directors for decision.

2. PRC membership will be determined by the chairperson under the direction of the division chief and office director. It is the chairperson's responsibility to ensure that the PRC is complete and that all PRC members are fully informed of meetings and provided with all relevant project documentation. The names and offices of committee members should be formally recorded and should be made a part of the project file. A separate memo from the chairperson should identify committee membership. This memo should be approved by the Directors of NE/TECH and NE/PD prior to issuance. The issues paper prepared for the NEAC should also include PRC membership. It is each committee members responsibility to identify a temporary substitute or permanent replacement when the need arises and to advise the chairperson accordingly. The chairperson should include in the project file a record of PRC meetings together with the names and offices of the committee members who attended the meetings.

3. All PRC's chaired by TECH will have a PD officer on the committee and all PD chaired PRC's will have at least one TECH officer. In addition, the chairperson should include anyone with the expertise needed to properly review the PID or PP. This category would, for example, include officers from DS, PDC, BIFAD, NE/PD/ENG, NE/DP/PAE etc. The below listed offices and officers must be included on all PRC's. It is their responsibility to determine their degree of participation in the project review process. However, if the chairperson determines that the active participation of any of these officers is important, he must communicate his view to the relevant officer to ensure that the project receives



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attention. Offices/Officers to be included on PRC's: Lawyer, GC/NE; Program Analyst, NE/DP/PR; Country Desk; Environmental Coordinator, NE/PD/PDS; Social Scientist, NE/TECH/SA; Senior Project Economist, NE/PD.

4. Copies of all PID's and PP's are to be sent to SER/COM/NE and SER/CM/ROD/NE. The chairperson should call to the attention of SER/COM/NE, commodity import loans/grants or projects involving direct AID procurement. SER/CM/ROD/NE has specifically requested that committee chairpersons flag PID's and PP's which may involve direct AID contracting in design or implementation phases of the project to ensure that a contract officer is involved in the project from the earliest possible moment.

5. The functions of the PRC in the project approval process are described in AA/NE's memo of October 31, 1977 attached hereto for ready reference.

6. The PRC does not cease to function with the approval of the project but remains in existence throughout the life of the project until the final project evaluation is completed. During the implementation phase the PRC will assist the committee chairperson with major implementation actions such as drafting or reviewing contractor scopes of work, evaluating potential contractors in the contractor selection procedure, responding to requests for waivers or major changes in the implementation plan and reviewing and recommending action to the NEAC on requests for PP amendments.

7. PRC members should make known to the chairperson and other committee members the views of their office on major policy or program issues during the course of reviewing project documents. The final issues paper, though, is from the chairperson through his office director to the NEAC. It should, however, reflect issues and differences between PRC members. The members of the PRC and others members of their office are free to express differing views at the NEAC meeting if they so desire.

cc: All NE/TECH and NE/PD Officers
AA/NE, DAA/NE, NE/DP, NE/SJL, NE/EI, NE/NENA, GC/NE
SER/CM/ROD/NE, SER/COM/NE

Drafters: JPolitte/DHManDel:dhm:4/12/79

ORANDUM

October 31, 1977

TO: NE Office Directors and Project Managers
FROM: AA/NE, Joseph C. Wheeler *J. Wheeler*
SUBJECT: Operation of the Project Review Committee System

Several issues have arisen in the course of reviewing Mission PIDs and PPs which suggest the need to share with you some of my own observations of the functioning of the Project Review Committee (PRC) system.

First, I consider the project manager operating through a PRC and in close consultations with his field Mission counterparts to be fully responsible for timely performance of all Washington actions necessary to the effective design, development, approval, and implementation of the projects assigned to him. The project manager is also responsible for assuring needed inputs from other Agency bureaus and offices. On these tasks the project manager should expect and must have the full support and timely contribution of all project committee members.

The responsibility of the project manager is to be exercised under the supervision of the relevant office director. I expect the office director in turn to be responsible for the project managers on his staff and consequently the projects assigned to him. Projects presented to the Near East Advisory Committee (NEAC) either as PIDs or PPs are to be presented on the recommendation of the concerned office director.

Secondly, I have viewed the Project Review Committee system as a substantive review, coordinating and decision-making mechanism. Each Project Review Committee must insure that the Handbook uniform standards of project design are met. Issues needing AID/W action should usually be raised and resolved at the Project Committee level or at the office director level. Most of the issues should be resolved in this fashion, limiting those to be referred to the NEAC for action to those still unresolved or those where a higher level exposure to the issues seems appropriate. Issues needing field action should be clearly identified as such and assigned to the field.

Thirdly, the relationship between the AID/W Project Committee and field Missions should be active and collaborative. Exchanges with Missions on PIDs or PPs by cable, airgram or informal letter should communicate both the substance of Washington issues and desires as well as the context in which they were raised. These exchanges should also evidence an understanding of field constraints and should communicate our views in a way that is

understandable and constructive to the field Missions given their frame of reference. It is essential that our exchanges with Missions during the project development stage describe the project development timetable as we understand it, and indicate what actions are needed and who will be undertaking such actions in order to progress towards meeting that timetable.

Finally, a number of the PIDs that have come to me for action have failed to identify clearly the development problems which the project seeks to address, who is affected by these problems, and the project strategy for addressing them. Clearly, future PIDs need substantial improvement in this regard, but in the interim we need to deal effectively with the PIDs before us. As there is no longer a PRP to serve as an intermediate step in project development, the responsibility must now lie with the Project Committee to establish for each project a timetable of project development and the stages in that timetable where substantive decisions must be made on the project. At a minimum, where the PID has deficiencies in problem identification, beneficiary analysis and/or assistance strategy which are to be resolved during the project development process, the project timetable should make specific provision for PRC review of the Missions' supplemental project analysis which corrects these deficiencies, when it is received. I would like to be informed of these PRC reviews. Any major project change or policy issues should be resubmitted to the NEAC.

Each project will be unique. Some will have many issues needing resolution during project development which will require AID/W consideration before the Project Paper can be completed. Others may not require any post-PID formal review before the Project Paper is received. I expect the Project Committee to lay before the NEAC a clear statement of issues and a timetable for resolving them, including a recommendation as to whether or not an interim document will be necessary. Following the PID review, a reporting cable to the field should be prepared quickly. The reporting cable should cover issues raised, decisions made, analytical requirements and the overall timetable for AID/W and Mission review of project development. Where an interim document is considered necessary, this should be described in the cable.

cc: Mr. Donald Brown *Cairo*
Mr. Christopher H. Russell *Amman*
Mr. Gordon B. Ramsey *Jamasou*
Mr. Charles R. Grader *Kabul*
Mr. Albert P. Disdier *Rabat*
Mr. Hermon S. Davis, Jr. *Tripoli*
Mr. Robert G. Huesmann *Sana'a*
Mr. Glenn Patterson *Portuguese*
Mr. Thomas C. Irvin *Beirut*

MORANDUM

October 31, 1977

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FROM: AA/NE, Joseph C. Wheeler *J. Wheeler*
SUBJECT: Operation of the Project Review Committee System

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Each project will be unique. Some will have many issues needing resolution during project development which will require AID/W consideration before the Project Paper can be completed. Others may not require any post-PID formal review before the Project Paper is received. I expect the Project Committee to lay before the NEAC a clear statement of issues and a timetable for resolving them, including a recommendation as to whether or not an interim document will be necessary. Following the PID review, a reporting cable to the field should be prepared quickly. The reporting cable should cover issues raised, decisions made, analytical requirements and the overall timetable for AID/W and Mission review of project development. Where an interim document is considered necessary, this should be described in the cable.

cc: Mr. Donald Brown *Cairo*
Mr. Christopher H. Russell *Amman*
Mr. Gordon B. Ramsey *Damascus*
Mr. Charles R. Grader *Kabul*
Mr. Albert P. Disdier *Rabat*
Mr. Hermon S. Davis, Jr. *Tunis*
Mr. Robert G. Huesmann *Sana*
Mr. Glenn Patterson *Portugal*
Mr. Thomas C. Irvin *Beirut*

Memorandum

II.4.c

TO : NE/PD Staff 

FROM : NE/PD, Selig A. Taubenblatt

SUBJECT: NE/PD Senior Projects Economist

DATE: June 20, 1978

I believe it may be helpful as we enter the main project review phase of the fiscal year to re-emphasize Len Rosenberg's continuing responsibilities to the PD Office for economic analysis.

Len is an ex officio participant on all project committees for which PD has responsibility; i.e., where the chairperson is a PD officer. Accordingly, when PIDs and project papers (PPs) are forwarded with issues and recommendations for Director/Deputy Director NE/PD approval and transmittal to the NEAC, these documents must show Len's clearance. This means that review of the economic analysis of each PP and PID should be coordinated with him.

This economic analysis responsibility includes the range of project activity from identification through authorization, including memoranda, concept papers, and cables which address economic issues. It also applies to project implementation where economic questions are involved; e.g., review of conditions precedent material entailing economic judgments, setting of evaluation criteria which may reflect economic benchmarks, etc.

As the senior projects economist, Len is a main participant in NE/PD review of all Country Development Strategy Statements (CDSSs) and other economic policy papers and proposals for the countries of the Near East Bureau. This does not lessen the responsibilities of the PD geographic Divisions for substantive review and comment on such policy materials for countries for which they have responsibility. Accordingly, all CDSSs and other country economic policy documents should be referred to Len by the Divisions so that his review may be conducted simultaneously with the Division's own review. Recommendations to the Director/Deputy Director NE/PD should show Len Rosenberg's clearance or comment.



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Len Rosenberg will in addition be serving as an additional NE/PD member on a series of project committees for which NE/TECH is responsible. The listing of these projects is being developed separately with NE/TECH. His responsibilities as a member of such NE/TECH committees do not limit the responsibilities of the geographic Division PD member on the same committees. Also, pending the entry on duty of Dr. Steve Lintner, NE Bureau Environmental Coordinator now in recruitment processing, Len Rosenberg will continue to carry out these responsibilities.

cc: AA/NE, Mr. J. Wheeler
DAA/NE, Mr. A. White
NE/DP, Mr. B. Langmaid
NE/TECH, Mr. W. Gelabert
NE/NENA, Mr. J. Knoll
NE/EI, Mr. G. Kamens
NE/JLS, Mr. B. Richardson

memorandum

II.4.d.

DATE: April 2, 1979

TO: NE/PD, Selig A. Taubenblatt

SUBJECT: Engineering Division

TO: NE/PD STAFF

I wish to reiterate my desire that the Engineering Division participate fully in all activities of NE/PD, whether they be implementation or project development related. I believe that Mike Kingery, our Chief Engineer would be the best judge on the need for engineering inputs in the PID-PP process.

Accordingly, please ensure that in the future all PIDs, PPs and other action documents involving engineering matters in your respective areas of work are passed to NE/PD/ENGR for their attention and possible inputs.

Your cooperation would be appreciated.

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JUN 15 1979

AID/NE/PD

JUN 14 1979

MEMORANDUM TO: All PPC Staff

FROM: AAA/PPC/PDPR, Barry Sidman 

SUBJECT: Participation in Project Committee Meetings
of AID Bureaus

From time to time PPC is invited to participate in the Project Committee meetings held by Bureaus to develop issues papers for the larger Project Review meetings. To the extent that time permits, Project Review Officers (PROs) should attend these meetings and raise issues. If the PRO is unable to attend these meetings but intends to raise issues at the Project Review, the project committee chairman should be notified, either by memo or phone, prior to the project committee meeting.

We don't want to surprise the bureaus with new issues at the Project Review meetings when we have had the opportunity to raise them beforehand. Issues should be "flagged" as early in the review process as possible to enable the USAID and the bureau to consider them before the bureau-wide review takes place. Of course, our opportunity to participate effectively in Project Committee meetings is dependent in large measure on the early receipt of project documents from the bureaus, and we have asked the bureaus for their cooperation in this regard.

INFORMATION MEMORANDUM NO. 2

UNITED STATES GOVERNMENT

DATE: August 8, 1979

REPLY TO
ATTN OF: NE/PD/PDS, Genease E. Shivers

YS

memorandum

II.4.f

SUBJECT: Preparation of PIDs and PPs

TO: NE/PD and NE/TECH Division Chiefs and Project Officers

- 1) Effectively immediately, USAID and AID/W Project Committees should be listed in all PIDs and PPs. Please identify the chairperson and show the name and office designation of each committee member. AID/W Project Officers should insert this information in the document as soon as the Project Committee is formed (if possible, before duplication and distribution).

See attached circular cable (State 160760) informing USAIDs of this procedure.

- 2) Project officers are reminded that NE/TECH chaired Project Review Committees should include a NE/PD officer, and NE/PD chaired Project Review Committees should include a NE/TECH officer. It is important to the review process that everyone follow this procedure.

See attached May 1, 1979, memo from Taubenblatt/Gelabert on this subject.

Attachments:

a/s

226



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OPTIONAL FORM NO. 10
(REV. 7-76)
GSA FPMR (41 CFR) 101-11.6
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INFO OCT-22 1014 P

DRAFTED BY: NE/PO PDS: GESHIVERP
APPROVED BY: NE/PO SA TAUSENBLATT
AA/NE: JOWHEELP (SUBS)
NE/TECH: WEGELABERT (DRAFT)
NE/PO/PDS: DRMANDEL (DRAFT)
NE/PO: SLANGMAID (INFO)
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AMEMBASSY LISSON
AMEMBASSY NICCSIA
AMEMBASSY RABAT
AMEMBASSY SANA
AMEMBASSY TUNIS

UNCLAS STATE 160760

AIDAC

E. O. 12065N/A

TAGS:

SUBJECT: PREPARATION OF PIDS AND PPS

REF: 1) STATE 101215 2) AIDTO CIRCULAR A-43
EFFECTIVE IMMEDIATELY, USAID AND AID/W PROJECT COM-
MITTEES SHOULD BE LISTED IN ALL PIDS AND PP. PLEASE
IDENTIFY THE CHAIRPERSON AND HOW THE NAME AND OFFICE
DESIGNATION OF EACH COMMITTEEMEMBER, WHICH SHOULD
BE INSERTED FOLLOWING TABLE OF CONTENTS. AID/W WILL
ADD WASHINGTON PROJECT COMMITTEE AFTER RECEIVING
DOCUMENT FROM USAID. SPECIFIC REFERENCE IS MADE
TO PARAGRAPH 2 IN REFTELS 1 AND 2. VANCE

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D. C. 20523

22 MAY 1978
II.5.a

STANT
ISTRATOR

MEMORANDUM TO: Near East Bureau Office Directors
FROM : AA/NE, Joseph C. Wheeler *J. Wheeler*
SUBJECT : Near East Advisory Committee Meetings

1. We have a heavy workload during the rest of this year and in order to handle it most effectively, I would like some modification in our Bureau review system.

2. From now on, we will plan to hold NEAC meetings each Thursday afternoon at 2 p.m. Regular attendees* should reserve this time each week. Reviews will be placed on the agenda by PD and TECH Office Directors through their secretaries. In cases where there is not sufficient time to cover all reviews which need to be scheduled, special meetings will be scheduled. I expect to divide the chairing of reviews with Al White. Project Papers, with Project Committee issues papers, including recommendations, should be distributed by hand to attendees not later than the previous Friday. PIDs, with Project Committee issues papers, including recommendations, should be distributed to attendees not later than Monday of the week of the review. For both PIDs and PPs, the issues paper and recommendations should include the clearance of the Office Director of the sponsoring office (TECH or PD).

3. We believe Missions deserve an early hearing with the NEAC and every attempt should be made by Project Committees to present projects within established time periods. This means that PIDs and PPs should be reviewed within thirty days of their receipt, even when the Project Committee believes that the paper is lacking in required information.

4. We expect the Office Director of the office sponsoring the project to have a definite view as to whether and under what conditions the project should be approved. This should be reflected in the issues paper recommendations.

* Messrs. Langmaid, Gelabert, Taubenblatt, Mullen; also Regional Office Directors when a project concerning one of their countries is involved. For TECH-managed projects, Taubenblatt may send his Deputy. Likewise, for PD-managed projects, Gelabert may send his Deputy. Langmaid and Mullen may also send a deputy. In each case, the representative must come prepared to represent the views of the office. Each member of the Project Committee is expected to attend, and a rapporteur designated by Langmaid will attend.

5. For each meeting DP will assign a rapporteur who, on the Friday following each meeting, will issue a quick summary of the decisions made. This should be delivered by hand to the Project Committee Chairperson for reference in drafting the reporting cable and in implementing the decisions of the Chairman of the NEAC. The reporting cable should be sent within a week after the NEAC meeting.

6. When related policy issues or concerns beyond the scope of the PID or PP review are raised, they should be recorded by the rapporteur for follow-up assignment by the NEAC Chairman, as appropriate.

7. Project Committees, in presenting Project Papers and related issues papers and recommendations for the NEAC review, should have the following in mind:

a) Is a clear, simple and short description of what the project is intended to accomplish stated near the front of the paper?

b) Are the schedule and implementation plan realistic? Has time been allowed for negotiation of the agreement, meeting of conditions precedent, contract selection, etc.?

c) Is the evaluation plan clear in terms of purpose, criteria, timing and method? Is there a budget for evaluation, if needed? If an ex-post evaluation (evaluation of achievement of project purpose/goal after funding is terminated) is proposed, the PP should indicate the timing and a rough estimate of PD&S funds required.

d) Are the project indicators in the logical framework objectively verifiable, and can the evaluation plan verify them?

e) Does the Project Paper identify the covenants and conditions precedent to disbursement for inclusion in the loan or grant agreement to ensure adequate host country support and effective implementation of the project?

f) Is the matter of Congressional notification addressed?

g) Are main substantive provisions of the proposed project agreement included in the project documents?

h) Where a contract mode will be used, is it clear whether host country or direct, is the scope of work clear, is a contracting plan included, and are possibilities of contracting with a minority firm or institution addressed?

i) Is a reasonably firm cost estimate and financial plan presented for the project? Is a budget presented for an adequate initial obligation, keeping in mind current forward funding guidelines? (See Appendix 3c to AIDTO Circular A-143, "Guidance for FY 1980 Annual Budget Submission", sent 3/29/78).

j) Are environmental and social soundness concerns addressed in a manner consistent with project scope and objectives?

k) Do the project documents reflect AID's priority goals for women in development, population planning, and social justice?

cc: Near East Bureau Mission Directors
and AID Representatives

UNITED STATES GOVERNMENT

Memorandum

II.5.b

TO : NE/PD & NE/TECH, Project Officers

FROM : NE/PD, Selig A. Taubenblatt *SAT*
NE/TECH, William F. Gelabert *WFG*

SUBJECT: NEAC Review

DATE: June 8, 1978

As indicated in Mr. Wheeler's memorandum, dated May 22, 1978, NEAC meetings for the review of Project Papers (PPs) and Project Identification Documents (PIDs) will be held on Thursday afternoons at 2:00 P.M.

The NE Bureau has established the following procedure covering NEAC review:

1) 30-Day Review Period

As you know, AA/NE has indicated a 30-day period during which PIDs/PPs must be reviewed in AID/W and comments forwarded to the field. For purposes of tracking required actions, a logging system which records the date of receipt of papers from the field, and the finalization date of papers prepared in AID/W for NEAC review will be maintained by D. Kemp, NE/PD. Project Officers are requested to advise D. Kemp of such dates.

It is important to note that where papers are obviously deficient as determined by the sponsoring Office Director, NEAC review should be scheduled as early as possible in the 30-day period in order to advise the Mission promptly of issues/recommendations.

2) Scheduling PID/PP Review

a) Tentative Schedule

As indicated by the attached schedule, NEAC review dates for PIDs/PPs are tentatively set for the months of June, July and August, 1978. (A separate schedule will be provided at a later date for the month of September.) The "Schedule of Pre-Authorization/Agreement Actions through the Remainder of FY 1978," which includes projected dates for NEAC review will be distributed on a weekly basis.

b) Firm Schedule

Project Officers are requested to advise D. Kemp as papers are being finalized in order that firm NEAC review may be scheduled



and the Agenda prepared for each NEAC meeting. PPs with accompanying issues/recommendations papers must be distributed not later than the previous Friday to the NEAC meeting and not later than Monday of the week of the review for PIDs. The distribution of papers with the Agenda to NEAC attendees is the responsibility of the sponsoring office. A maximum of six projects may be scheduled for NEAC review. However, it is requested that Project Committee Chairpersons advise D. Kemp of time factors involved, i.e., where project issues require extended discussion thereby limiting the number of papers that may be reviewed, or requiring the scheduling of a special NEAC meeting.

3) Clearances

Issues/recommendations papers covering PIDs and PPs should be cleared by the Director, NE/TECH or NE/PD, as appropriate, prior to reproduction for distribution to NEAC attendees.

4) Deadlines

Projects which are not ready at the time the Agenda covering their review is being prepared will have to be included where a gap appears in the schedule or be the subject of a special meeting. Given the expected volume of reviews over the next four months, such special sessions will almost certainly be necessary in any case. To get through the scheduling, however, we do want to keep them to a minimum. Accordingly, your cooperation in keeping to the firm schedule will be helpful to all project reviews.

5) Missions

The Missions are being advised by cable of the Bureau schedule with the request that every effort be made to keep as close as possible to the dates we have set.

Attachment:

A/S

Distribution:

AA/NE:JCWheeler	NE/NENA:JKnoll	NE/NENA/TM:MHuntington
DAA/NE:ADWhite	NE/NENA:AI:RDCarlson	NE/EI:GLKamens
NE/EMS:RWParsons	NE/NENA/CPS:MCSterne	NE/E:JRRoberts
NE/DP:BLangmaid	NE/NENA/YR:EAGlaeser	NE/I:TFMiller
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NE/L:WBNance	NE/TECH (8)	
NE/S:KHTeill	NE/PD (25)	

II.5.c

November 16, 1978

cc: TECH
PD
DP

MEMORANDUM FOR: AA/LA, Mr. Valdez
AA/NE, Mr. Wheeler ✓
AA/ASIA, Mr. Sullivan
AA/AFR, Ms. Butcher
AA/DS, Mr. Levin
AA/PDC, Mr. Raulerson

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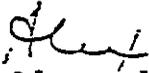
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SUBJECT: Urgent Review of Project Papers

As you know, I am expected to clear off on all project papers which go to the Administrator for authorization. Occasionally there is a great rush in gaining the Administrator's signature due to pressures for special signing ceremonies, end of fiscal year pressures and so on. This has all too often resulted in the papers arriving in PPC for clearance a few hours before final signature is required. This means that PPC cannot do the adequate job of final checking expected of us. While PPC may have been involved in some of the earlier work on the project, that is often not the case now given our less active role in PP preparations.

To help avoid the problem, please have your staff assure that Ed Hogan's office (PDPR) is alerted to possible urgent situations of this kind as far in advance as possible and be sure that copies of all relevant project papers are given to Ed for review much before the final hour. This will ease heartburn on all sides and permit the Administrator to be better served than he is now in these unusual cases.

Thanks for your cooperation.


AA/PPC, Alexander Shakow

cc: DA/AID, Mr. Nooter
AA/PPC, Mr. Paolillo
PPC/PDPR, Mr. Hogan

M E M O R A N D U M

II.5.d

TO: NE/PD Staff 
FROM: NE/PD, Selig A. Taubenblatt
SUBJECT: Pre-NEAC Briefing

September 4, 1979

To assure that I and/or Bob Bell have an opportunity to make an input to project issues papers at the earliest appropriate time and that we are properly briefed for the NEAC meeting, I would like to establish the following procedure.

After Project Committee meetings, but prior to the final drafting of the issues paper, the NE/PD committee member should formally brief the NE/PD Director and Deputy Director on the project and any issues that have been identified. The appropriate Division Chief is invited to participate and also to make inputs into the issues paper. Where the PD member is serving as Chairman of the committee, agreement can be reached at this meeting on the content of the issues paper. On TECH projects, this meeting will provide the opportunity for issues paper input by the Director's office, or for familiarization with the issues prior to NEAC.

This procedure should take effect for all PIDs and PPs received after September 1. I will look to the Project Committee Chairman/Division Chiefs to schedule such meetings. {We may wish to consider a fixed date for such meetings.}

Your cooperation would be appreciated.

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON

II.6.a

*Coordinate with
TECH
CC: W
JAW
officer*

THE ADMINISTRATOR

December 20, 1978

MEMORANDUM FOR THE EXECUTIVE STAFF

SUBJECT: Revisions of the Agency's procedures for reviewing and approving field projects

Starting with the first day of my appointment as Administrator of A.I.D., I have been studying the management of the Agency, seeking more efficient and more effective ways of doing business. We have made a number of changes during the past 20 months which have improved our operations significantly. We have had several studies of the process for identifying, reviewing and approving field projects. Each study has made a persuasive case that both the efficiency and the effectiveness of the Agency would be improved by delegating greater authority to the field missions where the principal work is conducted.

Enormous pressures have developed, which will continue with increasing intensity, to do more with the same number or fewer direct-hire employees: We are determined to be responsive to Presidential directives to improve effectiveness and efficiency and to eliminate unnecessary procedures and bureaucratic routine.

For the aforementioned reasons, I have approved the following revisions of the Agency's procedures for reviewing and approving field projects:

1. Authority will be delegated to the field missions to give final approval to projects having a LOP value of up to \$5 million.
 - a. Regional Assistant Administrator's may withhold authority from an individual mission, or an individual project, but must report such action to AA/PPC and to A/AID, with the reasons therefor.
 - b. Mission Directors may, upon submission of a PID to AID/W, transfer final project approval authority to the Regional AA in cases when the Mission Director judges the mission staff to be inadequate to undertake the final review, or when host country considerations are sufficiently important to indicate that final approval by the Regional AA would be the judicious course.

2. The Regional Assistant Administrator may, at his/her discretion, grant final project approval authority to a field mission for projects with a LOP value of up to \$10 million.
3. Authority will be delegated to the field missions to give final approval to project amendments with a value of up to ten percent of a project's LOP value.
4. Preparation of the PID will continue to be the responsibility of the Missions and will be submitted for review to the Regional Bureaus in AID/W, which will, in the process of review, focus on the degree to which the project conforms with Agency development policies, the CDSS, and on project design issues.
5. Within 30 days after the receipt of the PID in AID/W, the Regional AA will communicate to the field mission:
 - a. Approval of the PID with appropriate advice for project design;
 - b. Approval of the PID, withholding final project approval authority, citing the reasons therefor;
 - c. Disapproval of the PID with the reasons therefor.
6. Each Regional Bureau will submit to AA/PPC within five working days of the end of each month a list of all PIDs received in the previous month, and the action taken on each. AA/PPC will prepare a monthly summary report for the Administrator itemizing these actions.

The Executive Secretary and AA/PPC will coordinate the completion of the actions required to implement these revisions. All such actions are to be completed by January 31, 1979.


John Y. Gilligan

AIRGRAM

DEPARTMENT OF STATE

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DATE SENT
2-6-79

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TO - AIDTO CIRCULAR A- 43

FROM - AID/W

SUBJECT - Delegations to Field Missions for Approving Projects with Life of Project Funding Levels up to \$5 Million
REFERENCE - STATE 322561

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FOR MISSION DIRECTORS FROM AA/NE WHEELER

- Attached to this airgram are formal delegations of authority for project approval covering projects with a life of project funding up to \$5 million for the following Missions -- Afghanistan, Egypt, Jordan, Morocco, Syria, Tunisia, and Yemen. I am not delegating this authority to Missions in Cyprus, Lebanon, Portugal and Turkey either because of the nature of the programs in those countries or because of their very small staffs. Use of the delegations is conditional on the Mission receiving PID approval specifically stating that Project Approval will be at the Mission level.
- The Administrator's directive recognizes that, in some cases, Mission Directors will prefer to have projects approved in Washington. This could occur in cases where you do not believe you have sufficient professional capacity at the Mission to enable you to make a final project approval decision or where the project involves unusually broad policy issues and a Washington decision is appropriate in order to assure consistency with overall Agency policy and Congressional concerns. Thus, in PIDs with a life of project value up to \$5 million, you should indicate whether you intend to approve the project at Post. When you do intend to approve the project, you should include in the PID a description of both the Mission Project Committee which will develop the project and the Mission Advisory Committee which will advise regarding approval of the project. You should also identify consultant, TDY, and other inputs necessary to develop and design the project. Knowing with some specificity how the Mission intends to proceed with final project development will be more important in the PID approval process than it has been heretofore.

RUN ATT. WITH JOB.

1 OF 5

DRAFTED BY Joseph C. Wheeler John E. Mullen:ew et al	OFFICE GC/NE	NUMBER 28826	DATE 2/1/79	APPROVED BY Joseph C. Wheeler, AA/NE <i>[Signature]</i>
A.I.D. AND OTHER CLEARANCES				
NE/PD:Staubenblatt (draft)		NE/DP:BLangmaid (draft)		NE/TECH:WGelabert (draft)
AA/NE:ADWhite (draft)		UNCLASSIFIED		



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3. In certain cases, we may wish to approve projects in Washington despite a PID recommendation for final Mission approval. In these cases, there will be a statement of reasons for the record to the Mission, to PPC and A/AID. A decision to retain project approval authority for projects with life-of-project funding up to \$5 million in Washington will be made principally on the basis of a judgment as to the adequacy of Mission staff and its work plan to consider essential elements of the Project Paper. For example, on a project where environmental considerations are crucial, I expect that you either will have available within the Mission professional expertise in this area or will have a definite plan for obtaining this expertise from Washington or elsewhere. Similarly, a project involving potable water should not be approved at the Mission level unless appropriate technical expertise is available in the project development and review process related to the technical aspects of such a project. I expect that for some Missions we will follow the general delegation of authority to approve projects in most cases, while for other Missions (where technical staff is limited) approval at the Mission level may be the exception rather than the rule.

4. You will note that the Administrator has authorized Assistant Administrators at their discretion to grant final project approval authority to Missions for projects with a LOP value of up to \$10 million. Accordingly, for any project with a LOP value between \$5 million and \$10 million which you believe you have sufficient professional capacity in the Mission to develop and authorize, you should specifically request an additional delegation. This may be done at the PID stage or later. Such requests will be evaluated on essentially the same grounds as discussed in the preceding paragraphs. When requested at the PID stage, a decision will be communicated in the PID approval cable together with a project specific delegation.

5. You will also be able to authorize project amendments of up to 10 percent of a project's LOP value for projects originally approved in the field pursuant to the foregoing authorities. Any amendment will be subject to AID/W cable concurrence. In complicated cases, you may be asked to submit a written justification for the project amendment.

6. In approving projects and amendments, you should assure that all "Advice of Program Change" (Congressional Notification) requirements have been satisfied and that Missions have received the necessary funding allotment. It is essential that Missions have a "fail safe" system for compliance with congressional notification and funding controls. The requirement for congressional notifications relates to major changes in project content as well as changes in current year - or life of project - funding. If there is any doubt as to the need for notification, the Mission should consult with AID/W. For all projects requiring notification the Mission must submit an Advice of Program Change and a revised project sheet. Washington's cable advice that notification has been made and the waiting period completed must be received prior to project authorization.

7. In addition to congressional notifications, certain other actions in the authorization process will have to be coordinated with or carried out in Washington for the following reasons:

A. Field authority for source, origin and nationality waivers and other implementation matters such as sole source contracting is not being increased by the Administrator (see paragraph 13B, below). Accordingly, waivers and special authorities to be

AIRGRAM**DEPARTMENT OF STATE****AIRGRAM****CONTINUATION**

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included in a PAF or PAAD which cannot be authorized by the Mission Director will have to be obtained from Washington as early as possible to avoid delay.

B. The Section 611(e) certification will continue to have to be sent to me for my consideration by Mission Directors because the statutory formulation requires a certification by an officer in the field to the Agency in Washington. The certification should be submitted sufficiently in advance of the authorization for us to respond.

C. For countries considered to have human rights problems by the State Department, PPs have to be submitted to the Christopher Committee. Since this is a changing list, we will inform affected Missions separately. State/HA will not submit projects for affected countries to the Christopher Committee earlier than the PP stage, so Missions in those countries should build time for this Washington review into their approval schedule.

D. Missions will continue to be responsible for preparing Initial Environmental Examinations. Unless Regulation 16 is amended, however, I or my designee will be responsible for making the Threshold Decision required in Section 216.3 of Regulation 16.

8. Mission Directors will be responsible for determinations regarding cost sharing (Section 110(a), affecting development assistance) and excess foreign currency (Section 612(b), affecting Egypt, Tunisia and Morocco) and for compliance with the Anti-Deficiency Act. Further guidance will be forthcoming from the General Counsel to Regional Legal Advisors.

9. We will review all Mission-approved PPs during the year and consider what adjustments in this process should be made. In this regard, I would welcome your comments and suggestions during the year.

10. For projects where the PID was reviewed before dispatch of this airgram, project approvals will take place in Washington. However, where either you or I feel specific project approval at the Mission level is advisable, we can consider this on a case-by-case basis. You may wish to review outstanding approved FY 1979 and FY 1980 PIDs valued at up to \$5 million and make project approval recommendations by cable. In all future PID reviews, we will address the approval question during our NEAC review whether or not the PID was received before this airgram was dispatched.

11. Within 30 days after receipt of the PID in the Near East Bureau, we will communicate to you:

- (a) Approval of PID with appropriate advice for Project design and development;
- (b) Approval of PID, but withholding final project approval authority, citing the reasons therefore; or
- (c) Disapproval of PID and reasons therefore.

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CONTINUATION

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12. Within 5 days of project authorization by a Mission, the Mission should cable AID/Washington that the project has been authorized, including the date, annual and LOP funding date and send the authorized project paper to NE/PD/SD for appropriate distribution in the Bureau and the Agency.

13. We are involved in a continual effort to improve the quality of our project development and approval process while, at the same time, seeking more efficiency in the handling of our paperwork. During the past year we have tried to articulate for the Missions some of the things which have given us greatest concern.

It would be useful to note for Project Committee Chairpersons and senior Mission staff the following areas of concern that have been identified in NEAC reviews and should be given particular cognizance in Mission's project design, development and approval process.

A. Implementation Plan - such a plan and time schedule should be based on a realistic assessment of the capacity of the host country to carry out the project, as well as AID/W and Mission capacity to process actions related to review and approval of implementation actions. Projects should be designed to minimize their dependence on A.I.D. direct-hire resources. There should be consultations with AID/Washington for those cases where project implementation involves heavy dependence on AID/Washington manpower resources.

B. Waivers - The Administrator has decided not to increase Mission waiver authority at this time. (This will probably be reviewed a year from now.) It is thus necessary for Missions to anticipate waivers for AID/W approval at the earliest possible time, particularly when they relate to project approval; for example, waivers for source and origin, sole source procurement and direct A.I.D. contracting (instead of host country contracting).

C. Project Cost - the "reasonable firm cost" estimate for foreign exchange and local currency costs should assure that realistic contingency and escalation have been included.

D. Financial Plan - the plan should include the amount and timing for the host country contribution and the inputs to be provided. A.I.D.'s inputs should be forward funded to the maximum extent consistent with sound project management.

E. Beneficiary and Environmental Considerations - these factors should be addressed when project development begins since these factors are most crucial in how the project is designed and appraised.

F. Logframe and Evaluation - the project paper should contain an internally consistent logframe which would serve as a basis for evaluation and specific funding for the evaluation plan should be included in the project.

G. Policy Framework - the PP appraisal should address macro and micro policy considerations and how the project may be used to influence improved policies in the project sector.

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H. Conditions Precedent and Covenants - the PP should differentiate between those CP's and covenants that would only be included in the project paper and those that will be included in both the project paper and project authorization.

I. Project Papers - the length of project papers should be kept to 35 single spaced pages, excluding annexes.

14. By virtue of this expanded delegation the PID becomes an even more important point of policy discussion and guidance in the project development process. Consequently, it is essential that the PIDs be well prepared. In particular, it becomes essential that the PID identify the development problem being addressed, means of addressing it, and the implementing agent. We need to understand how the project is going to work. There must be a substantive basis for the tentative funding level recommended. The economic, technical, and social analysis should be far enough along to lead to a tentative presumption of project viability. An outline of the logframe and evaluation plan should be included.

15. We hope this increased responsibility to the field Missions will make for speedier project planning and approval and an overall improvement in the efficiency of our operations. We look forward to working with the Missions to make the delegations work. I would very much appreciate comments from you on aspects of this message which raise questions or which need further elaboration.

Attachment: a/s

CABLE ROOM SEND TO FOLLOWING POSTS WITH ATTACHMENT:

<u>ACTION</u>	<u>INFO</u>
Kabul	Beirut
Cairo	Lisbon
Amman	Ankara
Rabat	Nicosia
Damascus	
Tunis	
Sana	

VANCE

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DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D. C. 20523

ASSISTANT
ADMINISTRATOR

A.I.D. Missions in the Near East Region

Redelegation of Authority No. 133

Pursuant to the authority delegated to me by A.I.D. Delegation of Authority No. 133, dated February 1, 1979 regarding authorization and approval of project and non-project assistance, I hereby redelegate to the Directors of A.I.D. Missions in Afghanistan, Egypt, Jordan, Morocco, Syria, Tunisia, and Yemen, and to any person serving as "Acting Director" in such Missions, authority to exercise any of the following functions with respect to assistance for the country to which the Director or Acting Director is assigned, retaining for myself and any person serving as Acting Assistant Administrator for the Near East concurrent authority to exercise such functions and the authority to limit approval with respect to a particular project:

1. Authority to approve and authorize funding for project and non-project assistance under the Foreign Assistance Act of 1961, as amended, where such assistance does not, over the approved life of the project or non-project assistance, exceed \$5 million.

2. Authority to approve amendments amounting cumulatively to up to ten percent (10%) of the life of the project or non-project assistance value for any project or non-project assistance authorized in accordance with the authority redelegated in Section 1, above.

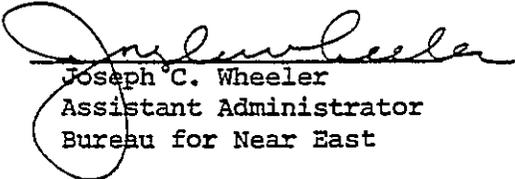
3. References to project and non-project assistance in this Redelegation do not include Housing Investment Guaranties.

4. The authorities redelegated in Sections 1 and 2, above, shall be exercised in accordance with applicable statutes and regulations, policies and procedures now or hereafter established or modified and promulgated within A.I.D., and only after consultation with appropriate Mission or AID/W technical personnel and legal counsel.

5. The authorities redelegated in Sections 1 and 2, above, shall not be further redelegated.

6. This Redelegation of Authority is effective immediately.

Dated: 02 FEB 1979


Joseph C. Wheeler
Assistant Administrator
Bureau for Near East

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APPROVED BY AA/NE JCAHEELER
GC/NE: JEMULLEN
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E. O. 12865: N/A

TAGS.

SUBJECT: DELEGATIONS TO FIELD MISSIONS FOR APPROVING
PROJECTS WITH LIFE OF PROJECT FUNDING LEVELS UP
TO DOLLARS 5 MILLION

FOR MISSION DIRECTORS FROM AA/NE WHEELER

1. FOLLOWING IS A MESSAGE FROM THE ADMINISTRATOR FOR MISSION
DIRECTORS RECEIVING PROJECT APPROVAL AUTHORITY PURSUANT TO
HIS DECEMBER 20, 1978 DECISIONS ON DELEGATION OF AUTHORITY
TO THE FIELD.

QUOTE IN MY DECEMBER 20, 1978 MEMORANDUM FOR THE EXECUTIVE
STAFF, A COPY OF WHICH WAS CABLED TO THE FIELD, I CONCLUDED
THAT THE EFFICIENCY AND THE EFFECTIVENESS OF THE AGENCY
WOULD BE IMPROVED BY DELEGATING GREATER AUTHORITY TO THE
FIELD MISSIONS. WITHIN THE NEXT FEW DAYS, EACH OF YOU WILL
BE RECEIVING SPECIFIC DELEGATIONS OF AUTHORITY FROM YOUR
ASSISTANT ADMINISTRATOR TO CARRY OUT THE DECISIONS MADE IN
THAT MEMORANDUM.

AS I AM SURE YOU ALL RECOGNIZE, THIS NEW AUTHORITY BRINGS
WITH IT SIGNIFICANT NEW RESPONSIBILITIES. MY DECISION TO
DELEGATE THIS AUTHORITY TO THE FIELD IS BASED ON MY FIRM
CONVICTION THAT, USING AID/W OR REGIONAL OFFICE EXPERTISE
ON A TDY BASIS AS NECESSARY, OUR OVERSEAS STAFF CAN PLAN,
APPROVE AND CARRY OUT A.I.D.'S PROGRAMS IN THE FIELD. THIS
DECISION IN NO WAY MEANS THAT STANDARDS FOR ADEQUATE PROJECT
REVIEW AND APPROVAL WILL BE DIMINISHED.

TO ASSIST YOU IN CARRYING OUT YOUR RESPONSIBILITIES UNDER
THIS NEW DELEGATION, I HAVE ASKED PPC TO WORK WITH THE
REGIONAL BUREAUS TO PREPARE GUIDELINES ON FIELD AND WASHING-
TON RESPONSIBILITIES UNDER THE NEW PROCEDURES. THESE

GUIDELINES, AS WELL AS INDIVIDUAL INSTRUCTIONS FROM REGIONAL
ASSISTANT ADMINISTRATORS, WILL BE TRANSMITTED TO EACH MIS-
SION WITH DELEGATED PROJECT APPROVAL AUTHORITY IN THE NEAR
FUTURE. I HAVE ALSO ASKED EACH REGIONAL ASSISTANT ADMIN-
ISTRATOR TO ASSURE THAT NECESSARY TECHNICAL AND SUPPORT
PERSONNEL ARE AVAILABLE TO ANY MISSION WHICH RECEIVES
PROJECT APPROVAL AUTHORITY AND THAT THE GENERAL COUNSEL
TAKE APPROPRIATE STEPS TO ASSURE THAT PROJECTS APPROVED IN
THE FIELD CAN BE REVIEWED FOR LEGAL SUFFICIENCY (E.G., STA-
TUTORY CHECKLIST AND SECTION 511 TYPE ISSUES) BY THE RE-
GIONAL LEGAL ADVISORS.

I BELIEVE THIS DELEGATION OF AUTHORITY TO THE FIELD REPRESENTS
A SIGNIFICANT STEP FORWARD IN THE HISTORY OF THIS
AGENCY. THE DEGREE TO WHICH IT SUCCEEDS WILL DEPEND LARGELY
ON YOUR INITIATIVE AND JUDGMENT. WE WILL BE CLOSELY MONI-
TORING THE RESULTS OF THIS DELEGATION OVER THE NEXT YEAR.
I HOPE EACH OF YOU WILL ACCEPT THE CHALLENGE THAT THIS
DELEGATION REPRESENTS AND THAT THE AGENCY'S PROGRAMMING
PROCESS WILL BE SIGNIFICANTLY IMPROVED AS A RESULT.
/S/ JOHN J. GILLIGAN UNQUOTE.

2. AA/NE HAS SENT BY AIDTO A-43 A COPY OF HIS REDELEGATION
AND GUIDANCE FOR MISSIONS IN IMPLEMENTING THE DELEGATIONS.
VANCE

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INFO: OCT-00 /035 R

DRAFTED BY NE/DP/PR: P. O. SELLAR: W. G. MCMOIL: JB
APPROVED BY NE/DP: B. LANGMAID
NE/PD/PDS: D. MANDEL
GC/NE: J. MULLEN
NE/EI/E: G. GOWER (INFO.)
NE/NENA/M: G. LEWIS (INFO.)
NE/JLS/J: R. WITHERALL (INFO.)
NE/NENA/T: J. BROOKS (INFO.)
NE/JLS: K. TEIL (INFO.)
PPC/PDPR: F. KENEFICK (PHONE)
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E. O. 12065 N/A

TAGS:

SUBJECT: DELEGATIONS TO FIELD MISSIONS FOR APPROVING
PROJECTS WITH LIFE OF PROJECT FUNDING LEVELS UP TO DOLS.
5 MILLION

REF: (A) AIDTO CIRCULAR A-43. (B) HANDBOOK 3, CHAPTER 8

1. SUBJECT DELEGATIONS WHICH WERE PROVIDED TO MISSIONS UNDER REF (A) INCLUDED AUTHORITY FOR MISSIONS TO AUTHORIZE PROJECT AMENDMENTS OF UP TO 10 PERCENT OF A PROJECT'S LOP VALUE FOR PROJECTS ORIGINALLY APPROVED IN THE FIELD. ALTHOUGH HANDBOOK 3, CHAPTER 8, SECTION 8F AS ISSUED ON 12/11/79 STATES THAT AN AMENDED PP IS NOT REQUIRED FOR CHANGES OF LESS THAN 10 PERCENT IN TOTAL BUDGET OR LESS THAN DOLS. ONE MILLION, AT A MINIMUM A PROJECT DATA SHEET (PP FACE SHEET) AMENDMENT AND COVERING ACTION MEMORANDUM FOR THE MISSION DIRECTOR SHOULD BE USED TO DOCUMENT THESE LOP CHANGES. THIS INSTRUCTION WILL BE REFLECTED IN A FORTHCOMING HANDBOOK REVISION.

2. MISSIONS ARE ALSO REMINDED THAT SUCH CHANGES CONTINUE TO REQUIRE BUREAU CABLE CONCURRENCE AND THAT COPIES OF AUTHORIZING DOCUMENTS SHOULD BE SENT TO THE BUREAU PROJECT OFFICER OR NE/PD/PDS FOR INTERNAL DISTRIBUTION. VANCE

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Mandel

PAGE #1 OF 02 STATE 015988
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INFO OCT-00 /035 R

DRAFTED BY AA/PDC: F SIMMONS: SCB
APPROVED BY A/AID: D J BENNET
A A/AID: J SOMMER (DRAFT)
AA/PPC: A SHAKOW (DRAFT)
PDC/PVC: TFOX (DRAFT)
SER/MP: FALLEN
SER/MP: FALLEN
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E.O. 11652 N/A

GUATEMALA FOR USAID AND ROCAP, KARACHT FOR AAG TTP
AIROBI FOR USAID AND REDSO. EAROKE ALSO FOR AID OFFICR F IULI
SUBJECT: USAID ROLE RE CENTRALLY-FUNDED GRANTS TO PVOS
INCLUDING CRITERIA FOR ANALYZING MATCHING GRANT PROPOSALS.
REF:

A) AIDTO CIRC A-172 W/ATTACHMENTS

1. MEMO FOR ASSISTANT ADMINISTRATORS AND MISSION DIRECTORS
(WITH MATCHING GRANT GUIDELINES) FROM A-A/AID DATED 4/20/79
2. DEAR COLLEAGUE LETTER TO PVOS FROM A-AA/PDC DATED
6/27/78

3. AID'S MATCHING GRANTS -- A SUMMARY DESCRIPTION

B) REPORT OF CONFERENCE OF AID RELATED PVOS DATED 2/19/78

C) ACTION MEMORANDUM FOR ADMINISTRATOR DATED 6/9/78

D) INFO MEMORANDUM FOR ADMINISTRATOR FROM AA/PDC DATED
12/22/78

E) ACTION MEMORANDUM FOR DEPUTY ADMINISTRATOR FROM AA/PDC
DATED 3/9/79

FOR MISSION DIRECTORS FROM ADMINISTRATOR BENNET
UNCLASSIFIED

1) IN FEBRUARY 1978, A.I.D. ESTABLISHED A CENTRALLY-
FUNDED MATCHING GRANT (MG) PROGRAM TO ASSIST PVOS TO
EXPAND THEIR DEVELOPMENT EFFORTS IN THE THIRD WORLD.
SINCE THAT TIME, THERE HAS BEEN AN ACCUMULATION OF
DECISION MEMORANDA AND OTHER DOCUMENTS WHICH TOGETHER
DESCRIBE THE BACKGROUND OF THE PROGRAM AND THE CRITERIA
WHICH ARE USED IN APPROVING PROPOSALS. LISTED ABOVE
AS REFERENCES ARE THE PRINCIPAL BACKGROUND DOCUMENTS.
MISSIONS HAVE RECEIVED MOST OF THEM AT ONE TIME OR
ANOTHER; WE WILL FORWARD THOSE WHICH HAVE NOT YET BEEN

2) ALTHOUGH THE INCREASING ROLE OF PVOS IS GENER-
ALLY UNDERSTOOD AND ACCEPTED IN THE AGENCY, THERE
APPEARS TO BE SOME UNCERTAINTY WITH RESPECT TO THE
MISSION ROLE VIS-A-VIS CENTRALLY-FUNDED PVOS GRANTS,
ESPECIALLY MATCHING GRANTS. CONSEQUENTLY, WE FELT IT
WOULD BE USEFUL TO BRING TOGETHER IN ONE MESSAGE THE
PRINCIPAL CRITERIA USED BY THE AGENCY IN CONSIDERING
MATCHING GRANTS AND THE ROLE TO BE PLAYED BY FIELD
MISSIONS.

3) REVIEW CRITERIA

A. WHILE EACH OF THE REFERENCED DOCUMENTS CONTAINS
SOME USEFUL BACKGROUND MATERIAL, BOB HOOTER'S MEMO OF
APRIL 20, ATTACHED TO AIDTO CIRC A-172 (REF #), DESCRIBES
THE AGENCY'S PHILOSOPHY TOWARDS MATCHING GRANTS. IN
HIS MEMO MR. HOOTER INDICATED THAT "THE GRANTS ARE
INTENDED TO SUPPORT AN EXPANSION OF THE PVOS' OWN
PROGRAMS, FOR PVOS WITH A PROVEN TRACK RECORD. WHILE
A.I.D. MUST EXERCISE ENOUGH OVERSIGHT TO ASSURE THAT
THE USE OF THE FUNDS IS CONSISTENT WITH OUR LEGISLATION,
WE SHOULD NOT TRY TO REMAKE THESE PROGRAMS IN OUR OWN
IMAGE NOR SHOULD WE REQUIRE THE SAME KIND OF DETAILED
PROJECT DOCUMENTATION USED FOR OUR REGULAR PROGRAMS."
THE POINT IS THAT WE WANT TO CAPITALIZE ON THE RESOURCES
AND MANAGEMENT CAPABILITIES PVOS CAN BRING TO BEAR
ON DEVELOPMENT BY SUPPORTING BUT INTERFERING AS LITTLE
AS POSSIBLE IN THEIR ACTIVITIES. BOB HOOTER'S MEMO
HAD AS AN ATTACHMENT THE FOLLOWING MATCHING GRANT
GUIDELINES:

1. THE PURPOSE OF THE MATCHING GRANT PROGRAM IS TO
SUPPORT THE ABILITY OF PVOS TO ADMINISTER EFFECTIVE
DEVELOPMENT PROGRAMS, WITHIN A.I.D.'S OVERALL PRIORITIES
AND LEGISLATIVE MANDATE; SIMULTANEOUSLY, WE SEEK TO
FACILITATE INCREASED RESOURCES FOR DEVELOPING COUNTRIES.

SOME FUNDAMENTAL COROLLARIES FOLLOW THIS PURPOSE STATE-
MENT, AS FOLLOWS:

--A. THE PROGRAM MUST BE FIELD-ORIENTED (RATHER THAN
HEADQUARTERS-ORIENTED).

--B. THE PROGRAM MUST REMAIN THE PVOS' OWN PROGRAM
(RATHER THAN AN A.I.D. PROGRAM, WITH ALL OF ITS FORMAL
REQUIREMENTS AND PROGRAMMING SYSTEM).

--C. THE PROGRAM MUST BE "DISCRETE" IN THE SENSE THAT IT
DEALS WITH AN IDENTIFIABLE PROBLEM (OR SET OF PROBLEMS)
WHICH HAS SOME BOUNDARIES AROUND IT (RATHER THAN A BLANK
CHECK TO DO THAT THE PVOS MAY DECIDE TO DO OVER THE COURSE
OF THE GRANT PERIOD.)

--D. THE PROGRAM MUST BE SET UP IN SUCH A WAY THAT IT IS
MEASURABLE AND EVALUABLE, BASED ON BROAD FUNCTIONAL
AND GEOGRAPHICAL TARGET AREAS. (THE FINAL REPORT
AND THE PREVIOUS ANNUAL REPORTS, THEREFORE, MUST BE ABLE
TO TELL THE DEVELOPMENT COMMUNITY AND A.I.D. SOMETHING
USEABLE ABOUT A PROGRAM AND AN APPROACH--I.E., WATER
RESOURCE DEVELOPMENT USING A COMMUNITY PARTICIPATION
METHODOLOGY, ETC.)

--E. THE PVOS MUST HAVE CLEARLY ESTABLISHED ITS ABILITY
BOTH TO CARRY OUT THE PROGRAM AND TO RAISE THE MATCHING
FUNDS FROM NON-GOVERNMENTAL SOURCES. (NOTE: IT WAS SUB-
SEQUENTLY DECIDED THAT EXCEPTIONS CAN BE MADE TO PERMIT
MOST GOVERNMENT CONTRIBUTIONS IN PARTIAL SUBSTITUTION FOR

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Department of State

OUTGOING
TELEGRAM

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PRIVATE CONTRIBUTIONS.)

--F. THE PVO PROPOSAL MUST BE SPECIFIC ENOUGH TO ENABLE A.I.D. TO ASCERTAIN AT LEAST THE FOLLOWING: THE PROJECTED COUNTRIES IN WHICH THE MATCHING GRANT PROGRAM WILL BE UNDERTAKEN; SAMPLE INDICATIONS OF THE PROGRAM'S COORDINATION OF THE PVO INPUT WITH HOST COUNTRY GOVERNMENTS, ULTIMATE BENEFICIARIES, HOST COUNTRY (INDIGENOUS) PVO'S OR OTHER PRIVATE GROUPS; THE FUNCTIONAL AREAS IN WHICH THE PVO WILL WORK (NUTRITION, WATER RESOURCES, ETC.), AND A BROAD OUTLINE OF THE BUDGET, INCLUDING OTHER INCOME HISTORY AND PROJECTIONS AND EXPENDITURES FOR THE MATCHING GRANT PROGRAM.

B. SUPPLEMENTING PARAGRAPH --F ABOVE, IT WAS ESTABLISHED THAT EACH MATCHING GRANT PROPOSAL SHOULD HAVE SUFFICIENT INFORMATION ABOUT THE PROPOSED PVO PROGRAM FOR A MISSION

TO UNDERSTAND HOW IT WOULD WORK IN THAT SPECIFIC COUNTRY. PROJECTS DO NOT HAVE TO BE DESCRIBED IN THE SAME DETAIL AS IN THE CASE OF AN OPG.

4. ROLES OF THE MISSION AND AID/W:

A. THE CENTRAL FEATURE OF THE MATCHING GRANT PROGRAM IS ITS SUPPORT FOR THE PVO'S OWN PROGRAMS WHEN THOSE PROGRAMS FALL GENERALLY WITHIN A.I.D.'S BROADLY-VIEWED DEVELOPMENT OBJECTIVES. AGENCY APPROVAL PROCESSES AND MONITORING REQUIREMENTS AS WELL AS MISSION RESPONSIBILITIES ARE BASED ON RECOGNITION OF THIS FACT.

B. THE ORIGINATING BUREAU, USUALLY POC, SEEKS THE CLEARANCE OF AID/W REGIONAL BUREAUS RESPONSIBLE FOR THE COUNTRY OR COUNTRIES IN WHICH THE PVO PROPOSES TO CARRY OUT ITS PROGRAM WITH A.I.D. SUPPORT.

C. PRIOR TO FORWARDING MATCHING GRANT PROPOSALS TO REGIONAL BUREAUS AND MISSIONS FOR REVIEW, POC/PVC ANALYZES THE CREDENTIALS OF THE PVO AND THE MATCHING GRANT PROPOSAL TO ASCERTAIN THAT THE PROPOSED PROGRAM IS BASED ON AN ESTABLISHED TRACK RECORD OF PERFORMANCE; THAT THE PVO CAN ASSUME RESPONSIBILITY FOR SELF-MONITORING AND ACCOUNTABILITY; AND THAT THE PVO HAS BOTH DEMONSTRATED CAPACITY TO GENERATE THE NECESSARY PRIVATE SUPPORT AND POSSESSES A LONG-RANGE FINANCIAL PLAN TO ACHIEVE AGREED GOALS.

D. AID/W WILL ADVISE MISSIONS OF ANY CENTRALLY-FUNDED GRANT APPLICATION INVOLVING A PVO WHICH HAS CARRIED OUT SIGNIFICANT PROGRAMS IN THE RESPECTIVE COUNTRY AND/OR SEEKS TO WORK IN THAT COUNTRY. WE WILL SEND RELEVANT MISSIONS A COPY OF THE PROPOSAL OR A COMPLETE CABLE SUMMARY, TOGETHER WITH SEPARATE AND SPECIFIC QUESTIONS AND ISSUES ON WHICH WE SEEK AND NEED MISSION COMMENTS AND SUGGESTIONS.

E. THE RESPECTIVE REGIONAL BUREAU AND POC MUST HAVE INFORMED FIELD INPUT. WE WILL ASK FOR MISSION VIEWS AND RECOMMENDATIONS TO ASCERTAIN WHETHER (1) THE PVO'S PAST PERFORMANCE AND REPUTATION HAS RESULTED IN SEVERELY NEGATIVE ATTITUDES WITHIN THE HOST COUNTRY; (2) THE PROPOSED PROGRAM IS INCOMPATIBLE WITH THE COUNTRY'S SOCIAL, ECONOMIC OR POLITICAL STRUCTURE; (3) THE PROPOSED ACTIVITIES ARE IN CONFLICT WITH MISSION OR OTHER DONOR PROGRAMS; OR (4) THE AREA OF THE COUNTRY WHERE THE PVO HOPES TO WORK IS TOO UNSAFE FOR SUCH AN ACTIVITY. THE

MISSION'S ROLE IS ESSENTIALLY ONE OF GUIDANCE AND SUGGESTION RATHER THAN OF SPECIFIC CLEARANCE.

F. THE PVO'S ARE THEMSELVES RESPONSIBLE FOR OBTAINING WHATEVER HOST COUNTRY CONCURRENCES OR AUTHORIZATION IS NECESSARY.

G. IN THE ACTUAL DEVELOPMENT AND IMPLEMENTATION OF THE PROGRAM, WE WILL CONTINUE TO URGE AND ENCOURAGE THE PVO'S TO BE CERTAIN THAT THEY DISCUSS WITH THE RESPECTIVE MISSION THEIR PLANS AND PROGRAMS. SUCH CONSULTATION, HOWEVER, IS NOT OBLIGATORY, SINCE AN EFFORT BY A.I.D. TO SUPERVISE OR CONTROL MATCHING GRANT ACTIVITIES WOULD VIOLATE THE BASIC PREMISE OF THE PROGRAM.

H. IN KEEPING WITH THIS SPIRIT, PVO'S USING A.I.D. MATCHING GRANT FUNDS NEED NOT SEEK AUTHORIZATION TO TRAVEL TO COUNTRIES IN WHICH THEIR PROJECT IS OPERATING, WITH THE EXCEPTION THAT IN COUNTRIES IN WHICH IMPORTANT POLITICAL OR OTHER FACTORS WARRANT IT MISSION CLEARANCE CAN STILL BE REQUIRED. CONVERSELY PVO'S CANNOT EXPECT ANY LOGISTICAL SUPPORT FROM THE MISSION.

I. WE ARE CONVINCED THAT THE RECIPIENTS OF MATCHING GRANTS, WHICH ARE THE MOST ESTABLISHED AND PROVEN OF THE PVO'S, WILL WORK BEST IN SUPPORT OF THE POOR WHEN THEY ARE AS FREE AS POSSIBLE OF THE USUAL GOVERNMENTAL RESTRICTIONS AND IMPOSITIONS. WHILE WE DO OUR PART TO ENSURE HEALTHY COMMUNICATION AMONG AID/W, CENTRALLY-FUNDED PVO'S, AND MISSIONS, WE WILL EXPECT MISSIONS TO SUPPORT THIS IMPORTANT NEW PROGRAM AND THE PRINCIPLE BEHIND IT. VOICE

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26 JUN 1978

TO: Near East Bureau Mission Directors, AID
Representatives and Office Directors

FROM: AA/NE, Alfred D. White (Acting)

SUBJECT: Project Paper Reviews

In Near East Advisory Committee reviews of Project Papers over the past couple of months, we have noted that a number of papers have been unduly lengthy and repetitious. As we approach the final quarter of the fiscal year, it is important that Mission Directors, AID Reps, NE Office Directors, and Project Committee Chairpersons ensure as prescribed by Chapter 5 of Handbook 3, Project Assistance, that Project Papers contain no more than 35 pages plus necessary Annexes. (Only in exceptional cases during FY 1978 should the PP text exceed 35 pages.)

The Project Paper is the culmination of the project appraisal process and the record for Agency action with respect to the project. It should, therefore, contain both the appraisal conclusions and the bases for those conclusions in the text of the paper, including economic, technical, financial, social, environmental and implementation aspects, as well as a statement of the relevancy of the project to A.I.D. country strategy. This text is then the core of the appraisal. Accordingly, where important background, analytical or other data are necessary, these can be included in an Annex or made part of the official project file so that offices wishing to review such data can do so if and when necessary. The official project file, with the Project Paper, is an essential part of the project record.

I know that the presentation of concise and succinct Project Papers that come directly to the point is not always easy, but it is important that Project Committee members and Project Committee Chairpersons strive to deliver such a product. With the formulation of the Bilateral Assistance Subcommittee (BAS) and the Working Group on Bilateral Assistance (WGBA) which, under present A.I.D. procedures, review all projects in excess of \$5 million (grants and loans), more extensive A.I.D. and inter-agency review will be involved for many of our projects which previously had only to be processed in the Bureau. This additional review will inevitably take additional time, and the extent to which we can abbreviate the process will assist both the necessary follow-up we have to do and the obligation schedule. The brevity of Project Papers will be an important contribution to expediting this whole cycle.

Your assistance and cooperation will be greatly appreciated.

UNITED STATES GOVERNMENT

Memorandum

TO : Distribution

DATE: August 11, 1978

FROM : NE/PD, Selig A. Taubenblatt ^{AS}
NE/TECH, William F. Gelabert ^{WFG}

SUBJECT: Content of Project Authorization and Agreements

One fundamental determinant of effective and prompt project implementation is the degree to which projects have been collaboratively developed with the host country and the terms and conditions negotiated prior to project authorization. Under ideal conditions the Project Paper itself will reflect complete AID Mission and host country agreement on all essential project details. By the time of PP approval all major issues should be resolved with the borrowers/grantees, and project implementation procedures and responsibilities should be clearly identified.

In some cases, however, not all issues have been resolved at the time of Project Authorization. Under such circumstances, we should be certain that the conditions precedent (CPs) and covenants inserted in the Authorization are only those absolutely essential to project implementation. In other words, the CPs and covenants in the Authorization should not be a list of what is desirable but only those conditions which are essential if the project is to go forward. It is recognized that essential conditions or covenants should not be discarded merely because they might not be accepted by the host country. On the other hand, to include in the authorizing document a condition or covenant, which in later negotiation is found to be unacceptable to the host country, might well require an amendment to the Authorization and therefore a delay in project execution.

Once the Authorization is signed, the Mission then has a little more freedom during negotiation of the Project Agreement to push for other desirable conditions and/or covenants in addition to those already contained in the Project Authorization. But in the Agreement too, the final text should provide adequate flexibility with respect to the details of the project, and should not be so detailed or rigid as to require frequent amendments to the Project Agreement.

In summary, it is incumbent upon Missions and project officers to insure that, to the extent possible, all project issues and principal obligations of the parties have been discussed and resolved prior to Authorization. Where such is not possible the Missions and project



officers should insure that the Authorization includes only those conditions and covenants without which the project could not or should not go forward.

Distribution

AA/NE, J.C. Wheeler
AA/NE, A.D. White
NE/DP, B. Langmaid
NE/NENA, J. Knoll
NE/EI, G. Kamens
NE/JLS, B. Richardson
GC/NE, J. Mullins
PPC/DPRE, E. Hogan
NE/PD, Division Chiefs/Project Officers
NE/TECH, W. F. Gelabert ✓
NE/TECH, E. K. MacManus
NE/TECH, R. Olson
NE/TECH, B. Turner
NE/TECH, T. McDonough
NE/TECH, Project Officers
USAID/Kabul, M. Silverman
USAID/Cairo, R. Bakley
USAID/Cairo/TECH, S. Applegate
USAID/Amman, T. Pearson
USAID/Rabat, M. Ward
USAID/Tunis, R. Slusser
USAID/Damascus, D. McCall
USAID/Lisbon, G. Patterson
USAID/Sana, A. Ruiz

UNITED STATES GOVERNMENT

II.8.b

Memorandum

TO : NE/PD and NE/TECH Staff

DATE: September 20, 1978

FROM : NE/PD, Selig A. Taubenblatt
NE/TECH, William F. Gelabert *WFG*

SUBJECT: Authorization/Prevalidation of Loan Funds

FM/LD has informed the Bureau that there have been instances when loans have been authorized without obtaining a loan number from the Loan Division, and Loan Agreements signed without first obtaining prevalidation of funds. Failure to prevalidate funds represents a serious violation of established Agency fund control procedures.

Procedures covering authorization/prevalidation of loan funds will be incorporated in Handbooks 3 and 19 at a later date. In the meantime, Project Managers are requested to take the following actions when authorizing loans:

1. Prior to authorization of a loan, a number should be obtained from FM/LD and indicated on the authorization. At the same time, Project Managers should request prevalidation of fund availability, which is required prior to signing a Loan Agreement in AID/W or authorizing a mission to sign a Loan Agreement. In addition, the authorization cable to the field should indicate FM/LD clearance. These actions may be accomplished by calling LD/AR, extension 20166.
2. A copy of the approved authorization, and the signed original of the Loan Agreement should be promptly forwarded to FM/LD, Room 619, SA-12.

UNITED STATES GOVERNMENT

Memorandum

TO : NE/PD Staff

DATE: August 23, 1978

FROM : NE/PD, Selig A. Taubenblatt

SUBJECT: Final Clearance of Project Papers

With the changes in review procedures for the Bilateral Assistance Subcommittee (BAS) and Working Group for Bilateral Assistance (WGBA), it will be necessary that Project Papers be cleared in final before reproduction and/or distribution (for information) to the BAS/WGBA.

I wish to remind all NE/PD Project Officers that the PP sets forth the project justification and related back-up and represents the official record and basis for Project decisions. It is, therefore, important that the final PP sets forth an accurate record of the project.

Accordingly, the following procedure is established in NE/PD to assure that the final PP reflects the changes agreed to in the Near East Advisory Committee (NEAC):

1. The Project Committee Chairperson should assure that all agreed changes are reflected in the revised PP.
2. Major substantive changes in the PP, e.g., terms and conditions, should be cabled to the appropriate USAID for clearance/comment.
3. The PP should then be put in final and forwarded by the Project Committee Chairperson with a covering action transmittal to the Director, NE/PD, advising that all changes in the PP have been made and the final PP is ready for printing. The request to the printer would be an attachment for signature by the Director or Deputy Director, NE/PD.
4. The PP would then be forwarded to the printer normally requesting as follows:
 - Projects of \$5 million and under: 40-50 copies.
 - Projects over \$5 million: 55-65 copies.

(See attachment 1.) Particular projects may, of course, require larger numbers, but the above is the probable usual number.



5. For projects over \$5 million, two information copies of the PP should be sent to each BAS member. The list of agencies and appropriate officials are set forth in Attachment 2.

Your assistance would be appreciated.

Attachments:

1. Project Paper Copies
2. Agencies and Appropriate Officials

cc: AA/NE:JCWheeler
DAA/NE:ADWhite
NE/DP:BLangmaid
AA/NE:EMVinson
NE/TECH:WFGelabert
NE/EI:GLKanens
NE/NENA:JKnoll
NE/JLS:BCRichardson
NE/EMS:WParsons

AGENCIES AND APPROPRIATE OFFICIALS

EPC/PEPR	Mr. Edward Hogan Room 3643 NS
State	Mr. Charles Weissner Rm. 4829 NS
Treasury	Mr. Robert Felikan Main Treasury - Room 5221
OMB	Mr. Richard Hygard New Executive Office Bldg. - Room 8235
Commerce	Mr. Robert Luransky Main Building - Room 4424
Labor	Mr. Steven Charnovitz Dept. of Labor (State Mail Room 3-523)
Agriculture	Dr. Jerome Hammond USDA - Room 104 Pomponio Plaza
DCC	Mr. Arthur Mudge Room 2711

DISTRIBUTION LIST FOR APPROVED PROJECT PAPERS

	<u>Over \$5 million</u>	<u>\$5 million & under</u>
1. AA/NE	2	2
2. NE/DP	2	2
3. Director, NE/PD	2	2
4. Director, NE/TECH	2	2
5. Internal Distribution	15*	15*
6. NE/PD/PDS (GShivers)	22	10
7. NE/DESK	3	3
8. Mission	15-25**	15-25**
9. PPC/WID	1	1
10. CM/ROD/NE	1	1
11. SER/COM/NE	1	1
12. DS/DIU/DI	4	4

* - The NE/PD project officers will make appropriate distribution to other A.I.D. offices.

** - 25 copies for USAID/Cairo only.

PLEASE USE STANDARD DISTRIBUTION LIST FOR ADDRESSES.

10/16/79

memorandum

E: May 14, 1979

REPLY TO
ATTN OF: NE/DP/PR, Peter O. Sellar *POS*

SUBJECT: Congressional Advices of Program Change (a.k.a. CA's and Congressional Notifications)

TO: NE Office Directors, Division Chiefs, Desk Officers

This memo supersedes and replaces my memo on the same subject of Jan. 5, 1979.

The attached guidance issued by LEG on May 8, 1978, outlines CA procedures and provides a sample CA sheet. I am also attaching Brad Langmaid's memo of July 27, 1977, which discusses the logic as well as the mechanics of preparing CAs. If two years are added to all dates mentioned, this memo is still accurate as to format questions, except for item 5 which makes a no longer valid distinction between new and continuing projects -- these are now treated alike. Please ask your staffs to pay particular attention to item 4 which goes into the need for consistency among all project descriptions we send to Congress.

The only item, to my knowledge, not covered in complete detail in the attachments is the question of clearances. Required clearances are as follows, and in the following order (the drafting officer may at his option clear with any other offices deemed necessary):

- 1) TECH or PD Office Director, depending on which office has project management responsibility
- 2) Regional Office Director
- 3) GC/LPIA, C. Costello
- 4) NE/DP Director
- 5) DAA/NE
- 6) AA/NE

See also page 2, para. 6 of the attached 7/27/77 memo for additional guidance on clearances.

NE/DP will take responsibility for obtaining DAA/NE and AA/NE clearance, for making the necessary number of copies of the cleared CA, and transmitting them to LEG, ensuring prompt delivery to the Congress, and advising the drafting officer of the waiting period expiration date and upon expiration of the waiting period. Imogene Allen, (ext. 23851) or in her absence Alice McMillian, is the manager of this process in NE/DP.

Please be reminded that any communication informing a Mission of CA waiting period dates must make it clear that the Mission should not obligate funds unless and until advised by AID/W that the waiting period has

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Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

OPTIONAL FORM NO. 10
(REV. 7-76)
GSA FPMR (41 CFR) 101-11.6
5010-112



expired without Congressional objection - i.e. there must be a positive signal.

Attachments: a/s

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

May 8, 1978

MEMORANDUM

TO: Distribution

FROM: LEG/PPD, A. F. Westwood *AW*
GC/LPIA, C. E. Costello *CEC*

SUBJECT: Revised Guidelines for processing
Congressional Notifications

As in prior years, the FY 1978 Appropriations Act requires notification to Congress prior to the obligation of funds. This year's provision is as follows:

None of the funds made available under this Act for "Food and Nutrition, Development Assistance," "Population planning, Development Assistance," "Health, Development Assistance," "Education and human resources development, Development Assistance," "Technical assistance, energy, research, reconstruction, and selected development problems, Development Assistance," "International organizations and programs," "American schools and hospitals abroad," "Sahel development program," "International narcotics control," "Middle East special requirements fund," "Security supporting assistance," "Operating Expenses of the Agency for International Development," "Military assistance," "International military education and training," "Foreign military credit sales," "Inter-American Foundation," "Peace Corps," or "Migration and refugee assistance," shall be available for obligation for activities, programs, projects, type of materiel assistance, countries, or other operations not justified or in excess of the amount justified to the Appropriations Committees for obligation under any of these specific headings for fiscal year 1978 unless the Appropriations Committees of both Houses of the Congress are previously notified fifteen days in advance.

Also, the Foreign Assistance Act of 1961, as amended, now contains section 671, which provides:

None of the funds appropriated to carry out the purposes of this Act (except for programs under title III or title IV of chapter 2 of part I, chapter 3 of part I, and programs of disaster relief and rehabilitation) may be obligated for any activities, programs, projects, types of materiel assistance, countries, or other operations not justified, or in excess of the amount justified, to the Congress for obligation under this Act for any fiscal year unless the Committee on Foreign Relations of the Senate, the Committee on International Relations of the House of Representatives, and the Committee on Appropriations of each House of the Congress are notified fifteen days in advance of such obligation.

Pursuant to these provisions, a Congressional notification, or an Advice of Program Change, is required for activities proposed for funding in this fiscal year (and future fiscal years unless this memorandum is superseded) when:

- a. The Activity was not included in the Congressional Presentation (CP).
- b. The scope or purpose of the activity is substantially different from that described in the CP so that it constitutes a new activity. This applies to amendments as well as initial authorizations or obligations.
- c. The funding source is different from that shown in the CP, i.e., a shift between appropriation categories, or a shift between grants and loans or loans and grants within an appropriation account.
- d. The proposed funding is in excess of the amount contained in the CP.
- e. The activity was presented in the CP as a "shelf" item.

When notification is required, two documents shall be used:

- a. A summary statement in the format of Attachment A. The purpose here is to provide a simple statement of precisely what the change is and why it is being made, in a fashion comprehensible to Members and staff on the Hill.

- b. A new or revised grant or loan Activity Data Sheet in the same format used for the CP.

The Bureau/Office within whose jurisdiction the particular activity falls is responsible for the timely preparation of the required documents, their clearance, and delivery to LEG.

PVO's and other "basket" projects

The Senate Appropriations Committee has objected to general statements contained in the CP regarding OPG's to PVOs and other "basket" projects. Accordingly, A.I.D., in response, has offered to notify on precise activities within these projects. The Bureau/Office within whose jurisdiction the particular activity falls is responsible for checking with LEG/PPD and GC/LPIA to determine which projects require amplifying notifications regarding sub-activities in "basket" projects. Each OPG will require individual notification.

In these cases, since the purpose is to amplify rather than change a Data Sheet in the CP, a revised Activity Data Sheet can be omitted. The Summary sheet (Attachment A) should be completed and include component costs, particularly in the case of PVOs grants.

When there is a change in the project as shown in the CP, such as an increase in the total funding of the project, this should be made clear in the Summary sheet, and a new Activity Data Sheet will be required.

Clearances and Processing

Advices of change must be cleared by (a) the responsible AA or DAA and (b) by GC/LPIA. They are then to be forwarded to LEG/PPD. LEG/PPD will transmit the Advice of Program Change to Congress. No other clearances are required. Information copies should be forwarded to PPC/DPRE and PPC/RB.

Clearances and drafting officer should be shown on the back of the original copy. The original and 26 clear xerox copies should be delivered to LEG.

LEG/PPD maintains a log and will inform the Bureaus/Offices of the date of delivery of revised data sheets and of any Congressional inquiries, comments or objections. Obligations may take place on the fifteenth day after the date of delivery unless otherwise informed. The 15 days are calculated by counting the day of delivery and 14 days following that day.

Attachment: a/s

Distribution:

DA/AID, Mr. Nooter
Assistant Administrators & Office Heads
Assistant General Counsels

Clearance:GC:KCKannerer KCK

DET

Drafted:LEG/PPD:AFWestwood:GC/LPIA:DLPressley:5/2/78

Attachment A

AGENCY FOR INTERNATIONAL DEVELOPMENT
ADVICE OF PROGRAM CHANGE

DATE:

Country:

Project Title:

Project Number:

CP Reference: (for example, FY 1978 Asia Book, p.182)

Appropriation Category:

Intended FY 1978 Obligation:

Provide a concise description of changes in existing projects from the Congressional Presentation or the justification of a new project.

The description of changes must detail those elements in the existing project as presented in the Congressional Presentation that have changed and why they have changed.

Attach activity data sheet (new or revised).

ANNEX: Activity Data Sheet

Memorandum

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All NE Bureau Officers

DATE: July 27, 1977

NE/DP, Bradshaw Langford

Congressional Advices (CAs)

We have about 35 CAs to process between now and September 15 to complete our FY 1977 program, in addition to the ones already drafted and in clearance.

It is urgent that closer attention be paid to the instructions for preparing these by drafting and reviewing officers if we are to succeed in processing this massive volume of work. The rapidity with which DP can review and clear CAs depends heavily on the quality of the drafts submitted.

The following guidance highlights and expands on existing instructions in an effort to identify the more frequent problem areas and areas of confusion in preparing CAs.

1. .. number of errors can be avoided if one keeps in mind the logic (rather than the mechanics) of what we are doing: we are either sending Congress an Activity Data Sheet for insertion into the FY 1977 CP in those cases where the project was not included in the CP, together with a covering explanation as to why it was not included; or we are sending a Revised Activity Data Sheet to replace the one presently in the CP in cases where the project was included in the CP but where changes requiring notification have occurred, together with a covering description of what these changes are and an explanation as to why they have occurred.
2. Thus, the Activity Data Sheet (new or revised) is the basic document describing the project to Congress; the covering transmittal narrative should not repeat information in that document but should describe and explain the changes from the previous submission, or explain why there was no previous submission and provide any justification needed to supplement (not repeat) the information in the new Activity Data Sheet.
3. Prior CP references. Following the same logic, the transmittal narrative provides the FY 1977 CP reference (page number) of the Activity Data Sheet now being replaced; but the Revised Activity Data Sheet attached to the narrative shows in the Prior Reference block the FY 1976 CP reference, or the most recent Congressional Advice if one was submitted after the FY 76 CP but before the FY 77 CP. In those cases where there was no FY 77 CP reference, indicate "none" in the transmittal narrative; in those cases where there was no reference

prior to the FY 77 CP, indicate "none" in the Prior Reference block of the Activity Data Sheet. Do not forget, however, that in some cases the project may have been referenced in the Grant Activity Summary Table (Table V) of the country or regional programs section of the FY 1977 CP, in which case this should be referenced in the FY 77 CP reference line of the transmittal narrative, and any substantial deviations explained.

. Consistency with previous CPs and/or CAs and the FY 1978 CP. Congressional staff will be looking at our CAs in relation to what we have previously submitted. It is therefore important that the CA be consistent with or explain changes that have occurred, not only with reference to the FY 77 CP but with reference to the FY 78 CP as well, when the project appears in the 78 CP, and with reference to any CAs previously submitted. Although the primary focus will be the changes from the 77 CP and 78 CP, or any recent CAs, there also needs to be an awareness of what was said in the FY 76 CP if applicable.

~~With respect to the FY 78 CP, in cases where the project description and cost estimates therein were closer to the present situation than in the FY 77 CP, you should make reference to this in the transmittal narrative and cite the FY 78 CP reference. This also applies to new projects not presented in the FY 77 CP but shown as continuing projects in the FY 78 CP.~~

. Format of Activity Data Sheets.

Project officers will note that, in the case of the FY 1977 CP, there were two different formats for presentation of information on the activity data sheets.

~~a) in the case of new projects, information is to be organized under the following headings: GOAL; PURPOSE; BACKGROUND; MAJOR OUTPUTS; HOST COUNTRY AND OTHER DONORS; and FY 1977 PROGRAM.~~

b) in the case of continuing projects, information is presented under three headings: PROJECT TARGET & COURSE OF ACTION; PROGRESS TO DATE; and FY 1977 PROGRAM. ~~In some cases U.S. FINANCED INPUTS was used in addition to or in lieu of FY 1977 PROGRAM; in such cases use the same headings that appeared on the Activity Data Sheet being replaced.~~

Use for continuing projects the same activity format as appears in the FY 1977 CP; in the case of new FY 1977 projects which do not appear in the FY 1977 CP, use the new project format.

. Clearances. Clearances are to be shown on the back of the transmittal narrative. A common error in submitting finals after clearance of a previous draft is to forget to type these in. Where a previous version has been retyped with only minor changes, the clearances can be cut off that version and taped ~~back of the final one. The drafting officer should also be shown and should initial for himself and for any others whom he is showing as having cleared in draft.~~ Do not show NE/DP as having cleared in draft: AA/NE will not clear advices without the initials showing of the DP Director or Acting Director.

Distribution.

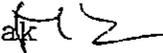
NE/CD (30)
NE/TECH (30)
NE/ME (25)
NE/NENA (25)
NE/DP (20)
GC/NE (5)

MEMORANDUM

II.11
November 26, 1979

TO : NE/DP, Bradshaw Langmaid
Peter Sellar
NE/PD, Selig Taubenblatt
NE/NENA, Patrick Morris
Anne Dammarell
Nancy Tumavick
Gary Towery
Mary Huntington
NE/JLS, Blaine Richardson
Ronald Witherell
Donald Muncy
Kurt Teil
NE/EI, Gerald Kamens
Gerald Gower
Russell Misseloff
NE/TECH, Charles Weinberg
PPC/PB, Jerome Segal
State/NEA, Phil Rizik

RECEIVED
NOV 30 1979
AID/NE/PD

FROM : PPC/PDPR/CP, Marilyn Zak 
SUBJECT: Human Rights Procedures for FY 1980

We have finished the human rights review by the Christopher Working Group of all new FY 1980 projects. I have attached a copy of the FY 1980 procedures which are, with some minor revisions, the same as last year. If you have any question on how a particular country is to be handled, please call me on ext. 25878 or Peter Sellar, ext. 23850.

To make notification to State/HA easier, we have developed a standard notification form to be used before project authorization or a significant signing ceremony. I should always receive a copy of the notification. HA will return the memo indicating clearance or not in order that we may have a written record. Seven working days will be used as the time frame before HA clearance is assumed.

In a country that requires a review before authorizations, any project not on the October review list will have to be reviewed by the Christopher Working Group as per the procedures. I have also attached the projects for your region reviewed by the Christopher Working Group in October.

Projects authorized in the field for countries where project authorization notification is required must have the PID submitted to HA for clearance. HA must also be notified before the project is authorized. It is important that the Missions be aware of this responsibility and of the need to notify us in advance of planned significant signing ceremonies.

Each Bureau's Program Office is responsible for obtaining clearance from HA on 653(b) reports which inform Congress of an intent to exceed the trigger level.

Attachment:

- Human Rights Review Procedures FY 80
- FY 1980 NEAR EAST PROJECTS approved by the
Christopher Working Group
- Standard Notification Form

Clearance: HA/HR, Ms Barbara Bowie (draft)

HUMAN RIGHTS REVIEW PROCEDURES FOR AID IN FY 1980

I. A. Country Review Procedures

- (1) countries for which new FY 1980 projects will be reviewed.
 - (a) AID's Regional Bureaus will notify HA and PPC/PDPR/CP on projects to be authorized that have been considered in the October review. HA will determine if the project can be authorized as planned.
 - (b) New projects that have not been considered during the October review will be submitted to the Working Group for review. Notification should be sent to PPC/PDPR/CP who will arrange for the project to be included on the next Working Group agenda.
 - (c) For projects to be authorized in the field, the PID will be sent to HA and PPC/PDPR/CP. HA will determine if the project will be reviewed by the Working Group. Even though a project has been approved at this stage, HA and PPC/PDPR/CP will still be notified 15 days before the project is to be authorized in the field. The notification will include a one page summary of the project. HA will review the current human rights situation and determine if the project can be authorized as planned.
- (2) countries on which AID will report to HA 15 days before a significant signing ceremony in the field (see Section X).
- (3) countries for which projects will not be reviewed during the year other than at the October review unless there is a change in the human rights situation. HA will advise PPC on the changes.

B. Regional Projects

New Regional Projects not reviewed in October which channel funds to a country in I.A.(1) above and the funds are separable will be sent

to HA for review. HA will decide if the project will be reviewed by the Working Group.

PPC provided the Working Group with a list of AID countries and all country and regional projects at the beginning of the fiscal year.

II. OYB Levels.

HA will review OYB levels with PPC directly. OYB levels will not be reviewed by the Working Group unless HA requests that a funding level issue be brought up in the Working Group.

III. Reports.

A. Section 653(a) Report - Program Allocations

Will be sent to HA by PPC.

B. Section 653(b) Reports - Notification of intention to exceed Trigger Level.

Will be sent by the Regional DP offices to HA for clearance.

IV. Congressional Notifications of Advice of Change.

Will not be sent to HA.

V. Project Authorization.

For I.A.(1) countries Regional Bureaus will send notifications of project review meetings and project papers to PPC/PDPR/CP and HA on projects not reviewed in October.

VI. Operational Program Grants.

OPGs will not be reviewed by the Working because of their humanitarian and non-governmental nature.

VII. Human Rights Country Reports.

AID desk officers will clear country reports. State's regional bureaus and HA are responsible for obtaining AID clearance directly from the AID desk officers.

VIII. ABS Reviews.

HA will attend ABS reviews and consult with PPC on country levels until the Congressional Presentation is finalized.

IX. Other.

If there are any significant proposed changes in country program levels and projects during FY 1980, especially for countries in I.A.(1) and (2), that would not be otherwise known from the above procedures, AID Regional Bureaus will notify PPC/PDPR/CP of the proposed change. PPC will then notify HA. If there are any significant cuts for I.A.(3) countries, HA should be notified.

X. Significant Signing Ceremonies.

HA will be informed of significant official signings of AID programs with recipient Governments for I.A.(2) countries.

A significant signing ceremony may well differ from country to country. HA will depend on the counsel of the Ambassador and the AID director. The following factors would generally signify a significant signing ceremony:

Ambassadorial signing: Ministerial level signing; the initiation of the largest loan program for the year; signings involving host country officials above the ministerial rank; signings involving U.S. officials based in Washington; signings accompanied with substantial publicity, and where the signing signifies a change in a relationship, e.g., the first assistance in a particular sector, and the first assistance in an area of significant political identification with the government.

PPC/PDPR/CP
November 20, 1979

OCTOBER 1979

FY 1980 NEAR EAST PROJECTS APPROVED BY
CHRISTOPHER WORKING GROUP

Economic Support Fund

Egypt --	Agribusiness Development Polyester Fiber Plant Industrial Free Zones Mineral, Petroleum and Ground Water Assessment Irrigation Pumps New Land Development Vehicle Maintenance Training Tax Administration Agricultural Management Development Telecommunications University Linkages Electric Power Sector--Management Training Land Transport Maintenance Suez Canal University Faculty of Medicine Basic Education Scholarship Program
Jordan --	Valley Farmers Association II Health Information Systems School Construction II Irbid Water and Sewage Crop Productivity
Syria --	Development Imports Rural Roads II Rural Schools II

Development Assistance Funds

Morocco --	Range Management Improvement Agronomic Institute Social Service Training Renewable Energy Development Low-Cost Housing Improvement Socio-Economic Data Gathering Health Systems
Yemen Arab Republic --	Development Training II Tihama Primary Health Care

Regional

Magarin Dam and Jordan Valley Irrigation System
Regional Training for Women (Jordan-Yemen)

HUMAN RIGHTS PROCEDURES MEMORANDUM

TO: HA,

FROM:

SUBJECT: Human Rights Clearance

The following project

Title :
Number :
Country :
Amount :

is to be authorized /have a significant signing ceremony in the field . This project was /was not among those reviewed by the Working Group in October 1979. (A project description sheet is attached if the project was not reviewed in October.) Authorization of this project will /will not result in an increase over the approved OYB level for _____.

HA clearance is requested. If we are not notified by _____, we will assume clearance.

TO :
FROM : HA,

- Proceed with authorization/signing
 Hold authorization/signing pending further review

Signature

Date

cc: PPC/PDPR/CP, MZak
Room 1113 NS

Memorandum

D : See Distribution

DATE January 9, 1979

FROM : NE/PD, Selig A. Taubenblatt

SUBJECT: Environmental Coordinator

Effective Immediately, Mr. Stephen Lintner has been assigned as Environmental Coordinator in the Near East Bureau. Mr. Lintner will assist the Office of Project Development (NE/PD), the Office of Technical Assistance (NE/TECH) and USAID's on environmental matters relating to Near East Bureau projects and programs. Actions on environmental matters and requests for assistance on environmental inputs should be referred to Mr. Lintner. Mr. Lintner will be authorized to implement actions required by AID's environmental regulations including approval of Initial Environmental Examinations (IEE's) submitted with PID's.

To assist Mr. Lintner in fulfilling his functions, he should receive copies of all PID's and PP's as well as IEE's and other environmentally related documents. He will be in touch with individual offices to determine how he can best assist project managers with the environmental aspects of project development in order to facilitate the Bureau's compliance with the Agency's environmental regulations.

Mr. Lintner's office designation is NE/PD/PDSD. He located in Room 4442 and may be reached on 632-8301.

Distribution:

OES, M.Kux
AFR/SDP, J.Nixon
LA/DR, B.Otto
PDC/PMS, E.Betzig
ASIA, W.Ackerman
DPRE/PR, J.Artaud
TA/CST, B.Printz
DS/ENG, F.DeMatteo

AA/NE, J.C.Wheeler
DAA/NE, A.White
AA/NE, E.Vinson
NE/TECH
NE/EI
NE/SJL
NE/NEEA
NE/DP
NE/PD



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II.13

5C(1) - COUNTRY CHECKLIST

Listed below are, first, statutory criteria applicable generally to FAA funds, and then criteria applicable to individual fund sources: Development Assistance and Economic Support Fund.

A. GENERAL CRITERIA FOR COUNTRY ELIGIBILITY

1. FAA Sec. 116. Can it be demonstrated that contemplated assistance will directly benefit the needy? If not, has the Department of State determined that this government has engaged in a consistent pattern of gross violations of internationally recognized human rights?

2. FAA Sec. 481. Has it been determined that the government of recipient country has failed to take adequate steps to prevent narcotics drugs and other controlled substances (as defined by the Comprehensive Drug Abuse Prevention and Control Act of 1970) produced or processed, in whole or in part, in such country, or transported through such country, from being sold illegally within the jurisdiction of such country to U.S. Government personnel or their dependents, or from entering the United States unlawfully?

3. FAA Sec. 620(b). If assistance is to a government, has the Secretary of State determined that it is not controlled by the international Communist movement?

4. FAA Sec. 620(c). If assistance is to government, is the government liable as debtor or unconditional guarantor on any debt to a U.S. citizen for goods or services furnished or ordered where (a) such citizen has exhausted available legal remedies and (b) debt is not denied or contested by such government?

5. FAA Sec. 620(e)(1). If assistance is to a government, has it (including government agencies or subdivisions) taken any action which has the effect of nationalizing, expropriating, or otherwise seizing ownership or control of property of U.S. citizens or entities beneficially owned by them without taking steps to discharge its obligations toward such citizens or entities?

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A.

6. FAA Sec. 620(a), 620(f); FY 79 App. Act, Sec. 108, 114 and 606. Is recipient country a Communist country? Will assistance be provided to the Socialist Republic of Vietnam, Cambodia, Laos, Cuba, Uganda, Mozambique, or Angola?
7. FAA Sec. 620(i). Is recipient country in any way involved in (a) subversion of, or military aggression against, the United States or any country receiving U.S. assistance, or (b) the planning of such subversion or aggression?
8. FAA Sec. 620 (j). Has the country permitted, or failed to take adequate measures to prevent, the damage or destruction, by mob action, of U.S. property?
9. FAA Sec. 620(l). If the country has failed to institute the investment guaranty program for the specific risks of expropriation, inconvertibility or confiscation, has the AID Administrator within the past year considered denying assistance to such government for this reason?
10. FAA Sec. 620(o); Fishermen's Protective Act of 1967, as amended, Sec. 5. If country has seized, or imposed any penalty or sanction against, any U.S. fishing activities in international waters:
- a. has any deduction required by the Fishermen's Protective Act been made?
 - b. has complete denial of assistance been considered by AID Administrator?
11. FAA Sec. 620; FY 79 App. Act, Sec. 603.
(a) Is the government of the recipient country in default for more than 6 months on interest or principal of any AID loan to the country?
(b) Is country in default exceeding one year on interest or principal on U.S. loan under program for which App. Act appropriates funds?
12. FAA Sec. 620(s). If contemplated assistance is development loan or from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget which is for military expenditures, the amount of foreign exchange spent on military equipment and the

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A.12.

amount spent for the purchase of sophisticated weapons systems? (An affirmative answer may refer to the record of the annual "Taking into Consideration" memo: "Yes, as reported in annual report on implementation of Sec. 620(s)." This report is prepared at time of approval by the Administrator of the Operational Year Budget and can be the basis for an affirmative answer during the fiscal year unless significant changes in circumstances occur.)

13. FAA Sec. 620(t). Has the country severed diplomatic relations with the United States? If so, have they been resumed and have new bilateral assistance agreements been negotiated and entered into since such resumption?

14. FAA Sec. 620(u). What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the AID Administrator in determining the current AID Operational Year Budget?

15. FAA Sec. 620A, FY 79 App. Act, Sec. 607. Has the country granted sanctuary from prosecution to any individual or group which has committed an act of international terrorism?

16. FAA Sec. 666. Does the country object, on basis of race, religion, national origin or sex, to the presence of any officer or employee of the U.S. there to carry out economic development program under FAA?

17. FAA Sec. 669, 670. Has the country, after August 3, 1977, delivered or received nuclear enrichment or reprocessing equipment, materials, or technology, without specified arrangements or safeguards? Has it detonated a nuclear device after August 3, 1977, although not a "nuclear-weapon State" under the nonproliferation treaty?

B. FUNDING CRITERIA FOR COUNTRY ELIGIBILITY

1. Development Assistance Country Criteria

a. FAA Sec. 102(b)(4). Have criteria been established and taken into account to assess commitment progress of country in effectively involving the poor in development, on such indexes as: (1) increase in agricultural productivity through small-farm labor intensive agriculture, (2) reduced infant mortality, (3) control of population growth, (4) equality of income distribution, (5) reduction of unemployment, and (6) increased literacy?

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B.1.

b. FAA Sec. 104(d)(1). If appropriate, is this development (including Sahel) activity designed to build motivation for smaller families through modification of economic and social conditions supportive of the desire for large families in programs such as education in and out of school, nutrition, disease control, maternal and child health services, agricultural production, rural development, and assistance to urban poor?

2. Economic Support Fund Country Criteria

a. FAA Sec. 502B. Has the country engaged in a consistent pattern of gross violations of internationally recognized human rights?

b. FAA Sec. 533(b). Will assistance under the Southern Africa program be provided to Mozambique, Angola, Tanzania, or Zambia? If so, has President determined (and reported to the Congress) that such assistance will further U.S. foreign policy interests?

c. FAA Sec. 609. If commodities are to be granted so that sale proceeds will accrue to the recipient country, have Special Account (counterpart) arrangements been made?

d. FY 79 App. Act, Sec. 113. Will assistance be provided for the purpose of aiding directly the efforts of the government of such country to repress the legitimate rights of the population of such country contrary to the Universal Declaration of Human Rights?

e. FAA Sec. 620B. Will security supporting assistance be furnished to Argentina after September 30, 1978?

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5C(2) - PROJECT CHECKLIST

Listed below are statutory criteria applicable generally to projects with FAA funds and project criteria applicable to individual fund sources: Development Assistance (with a subcategory for criteria applicable only to loans); and Economic Support Fund.

CROSS REFERENCES: IS COUNTRY CHECKLIST UP TO DATE?
HAS STANDARD ITEM CHECKLIST BEEN REVIEWED FOR THIS PRODUCT?

A. GENERAL CRITERIA FOR PROJECT

1. FY 79 App. Act Unnumbered; FAA Sec. 653 (b); Sec. 634A. (a) Describe how Committees on Appropriations of Senate and House have been or will be notified concerning the project; (b) is assistance within (Operational Year Budget) country or international organization allocation reported to Congress (or not more than \$1 million over that figure)?
2. FAA Sec. 611(a)(1). Prior to obligation in excess of \$100,000, will there be (a) engineering, financial, and other plans necessary to carry out the assistance and (b) a reasonably firm estimate of the cost to the U.S. of the assistance?
3. FAA Sec. 611(a)(2). If further legislative action is required within recipient country, what is basis for reasonable expectation that such action will be completed in time to permit orderly accomplishment of purpose of the assistance?
4. FAA Sec. 611(b); FY 79 App. Act Sec. 101. If for water or water-related land resource construction, has project met the standards and criteria as per the Principles and Standards for Planning Water and Related Land Resources dated October 25, 1973?
5. FAA Sec. 611(e). If project is capital assistance (e.g., construction), and all U.S. assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability effectively to maintain and utilize the project?
6. FAA Sec. 209. Is project susceptible of execution as part of regional or multilateral project? If so why is project not so executed? Information and conclusion whether assistance will encourage regional development programs.

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A.

7. FAA Sec. 601(a). Information and conclusions whether project will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions.

8. FAA Sec. 601(b). Information and conclusion on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).

9. FAA Sec. 612(b); Sec. 636(h). Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized to meet the cost of contractual and other services.

10. FAA Sec. 612(d). Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release?

11. FAA Sec. 601(e). Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?

12. FY 79 App. Act Sec. 608. If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar, or competing commodity?

B. FUNDING CRITERIA FOR PROJECT

1. Development Assistance Project Criteria

a. FAA Sec. 102(b); 111; 113; 281a. Extent to which activity will (a) effectively involve the poor in development, by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, spreading investment out from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained

B.1.a.

basis, using the appropriate U.S. institutions; (b) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward better life, and otherwise encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries?

b. FAA Sec. 103, 103A, 104, 105, 106, 107.
Is assistance being made available: (include only applicable paragraph which corresponds to source of funds used. If more than one fund source is used for project, include relevant paragraph for each fund source.)

(1) [103] for agriculture, rural development or nutrition; if so, extent to which activity is specifically designed to increase productivity and income of rural poor; [103A] if for agricultural research, is full account taken of needs of small farmers;

(2) [104] for population planning under sec. 104(b) or health under sec. 104(c); if so, extent to which activity emphasizes low-cost, integrated delivery systems for health, nutrition and family planning for the poorest people, with particular attention to the needs of mothers and young children, using paramedical and auxiliary medical personnel, clinics and health posts, commercial distribution systems and other modes of community research.

(3) [105] for education, public administration, or human resources development; if so, extent to which activity strengthens nonformal education, makes formal education more relevant, especially for rural families and urban poor, or strengthens management capability of institutions enabling the poor to participate in development;

(4) [106] for technical assistance, energy, research, reconstruction, and selected development problems; if so, extent activity is:

(i) technical cooperation and development, especially with U.S. private and voluntary, or regional and international development, organizations;

(ii) to help alleviate energy problems;

(iii) research into, and evaluation of, economic development processes and techniques;

(iv) reconstruction after natural or manmade disaster;

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B.1.b.(4).

(v) for special development problem, and to enable proper utilization of earlier U.S. infrastructure, etc., assistance;

(vi) for programs of urban development, especially small labor-intensive enterprises, marketing systems, and financial or other institutions to help urban poor participate in economic and social development.

c. [107] Is appropriate effort placed on use of appropriate technology?

d. FAA Sec. 110(a). Will the recipient country provide at least 25% of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or has the latter cost-sharing requirement been waived for a "relatively least-developed" country)?

e. FAA Sec. 110(b). Will grant capital assistance be disbursed for project over more than 3 years? If so, has justification satisfactory to the Congress been made, and efforts for other financing, or is the recipient country "relatively least developed"?

f. FAA Sec. 281(b). Describe extent to which program recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civil education and training in skills required for effective participation in governmental and political processes essential to self-government.

g. FAA Sec. 122(b). Does the activity give reasonable promise of contributing to the development of economic resources, or to the increase or productive capacities and self-sustaining economic growth?

2. Development Assistance Project Criteria (Loans Only)

a. FAA Sec. 122(b). Information and conclusion on capacity of the country to repay the loan, including reasonableness of repayment prospects.

b. FAA Sec. 620(d). If assistance is for any productive enterprise which will compete in the U.S. with U.S. enterprise, is there an agreement by the recipient country to prevent export to the U.S. of more than 20% of the enterprise's annual production during the life of the loan?

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B.

3. Project Criteria Solely for Economic Support Fund

a. FAA Sec. 531(a). Will this assistance support promote economic or political stability? To the extent possible, does it reflect the policy directions of section 102?

b. FAA Sec. 533. Will assistance under this chapter be used for military, or paramilitary activities?

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5C(3) - STANDARD ITEM CHECKLIST

Listed below are statutory items which normally will be covered routinely in those provisions of an assistance agreement dealing with its implementation, or covered in the agreement by imposing limits on certain uses of funds.

These items are arranged under the general headings of (A) Procurement, (B) Construction, and (C) Other Restrictions.

A. Procurement

1. FAA Sec. 602. Are there arrangements to permit U.S. small business to participate equitably in the furnishing of goods and services financed?
2. FAA Sec. 604(a). Will all commodity procurement financed be from the U.S. except as otherwise determined by the President or under delegation from him?
3. FAA Sec. 604(d). If the cooperating country discriminates against U.S. marine insurance companies, will agreement require that marine insurance be placed in the United States on commodities financed?
4. FAA Sec. 604(e). If offshore procurement of agricultural commodity or product is to be financed, is there provision against such procurement when the domestic price of such commodity is less than parity?
5. FAA Sec. 608(a): Will U.S. Government excess personal property be utilized wherever practicable in lieu of the procurement of new items?
6. FAA Sec. 603. (a) Compliance with requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 per centum of the gross tonnage of commodities (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U.S.-flag commercial vessels to the extent that such vessels are available at fair and reasonable rates.
7. FAA Sec. 621. If technical assistance is financed, will such assistance be furnished to the fullest extent practicable as goods and professional and other services from private enterprise on a contract basis? If the

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A.7.

facilities of other Federal agencies will be utilized, are they particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs?

8. International Air Transport. Fair Competitive Practices Act, 1974. If air transportation of persons or property is financed on grant basis, will provision be made that U.S.-flag carriers will be utilized to the extent such service is available?

9. FY 79 App. Act Sec. 105. Does the contract for procurement contain a provision authorizing the termination of such contract for the convenience of the United States?

8. Construction

1. FAA Sec. 601(d). If a capital (e.g., construction) project, are engineering and professional services of U.S. firms and their affiliates to be used to the maximum extent consistent with the national interest?

2. FAA Sec. 611(c). If contracts for construction are to be financed, will they be let on a competitive basis to maximum extent practicable?

3. FAA Sec. 620(k). If for-construction of productive enterprise, will aggregate value of assistance to be furnished by the United States not exceed \$100 million?

C. Other Restrictions

1. FAA Sec. 122 (e). If development loan, is interest rate at least 2% per annum during grace period and at least 3% per annum thereafter?

2. FAA Sec. 301(d). If fund is established solely by U.S. contributions and administered by an international organization, does Comptroller General have audit rights?

3. FAA Sec. 620(h). Do arrangements preclude promoting or assisting the foreign aid projects or activities of Communist-bloc countries, contrary to the best interests of the United States?

4. FAA Sec. 636(i). Is financing not permitted to be used, without waiver, for purchase, long-term lease, or exchange of motor vehicle manufactured outside the United States, or guaranty of such transaction?

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C.

5. Will arrangements preclude use of financing:

a. FAA Sec. 104(f). To pay for performance of abortions or to motivate or coerce persons to practice abortions, to pay for performance of involuntary sterilization, or to coerce or provide financial incentive to any person to undergo sterilization?

b. FAA Sec. 620(g). To compensate owners for expropriated nationalized property?

c. FAA Sec. 660. To finance police training or other law enforcement assistance, except for narcotics programs?

d. FAA Sec. 662. For CIA activities?

e. FY 79 App. Act Sec. 104. To pay pensions, etc., for military personnel?

f. FY 79 App. Act Sec. 106. To pay U.N. assessments?

g. FY 79 App. Act Sec. 107. To carry out provisions of FAA sections 209(d) and 251(h)? (Transfer of FAA funds to multilateral organizations for lending.)

h. FY 79 App. Act Sec. 112. To finance the export of nuclear equipment, fuel, or technology or to train foreign nations in nuclear fields?

i. FY 79 App. Act Sec. 601. To be used for publicity on propaganda purposes within United States not authorized by the Congress?

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TO - AIDTO CIRCULAR A- 352

FROM - AID/W

SUBJECT - Case-Zablocki Act--Transmittal to the Congress of International Agreements Entered Into by AID Missions.

REFERENCE - Circular A-567 dated October 5, 1975
Circular A-16 dated January 13, 1976

1. The Case-Zablocki Act (1 U.S.C. Sec. 112(b)) was amended on June 15 1977, to require any Executive department and agency entering into an international agreement on behalf of the U.S. to transmit to the Department of State the text of such agreement no later than 20 days after the agreement is signed. The purpose of this amendment is to enable the Department of State to perform its responsibilities under the Case-Zablocki Act and to transmit the agreement to the Congress no later than 60 days after it enters into force. The 20-day requirement for transmittal to the Department of State applies to international agreements entered into by AID/Washington and AID Missions.

2. The requirement that international agreements be transmitted to the Congress is limited to "significant" agreements. For AID agreements providing assistance on either a grant or loan basis, the test of significance is whether the agreement provides assistance of \$1 million or more. An agreement providing less than \$1 million of assistance is not required to be transmitted to the Congress unless it has some special significance unrelated to the amount of assistance involved. The \$1 million test of significance applies to U.S. contributions of either U.S. dollars or local currency or a combination of both. The transmittal requirement is limited to agreements which either in the original agreement or in any single amendment or revision of the agreement provide assistance of \$1 million or more. The transmittal requirement does not apply to agreements which through successive amendments or revisions, none of which individually provide at least \$1 million in assistance, aggregate a cumulative total of assistance amounting to \$1 million or

DRAFTED BY	OFFICE	PHONE NO	DATE	APPROVED BY
Leslie A. Grant	GC	23794	8/17/78	Leslie A. Grant
A.I.D. AND OTHER CLEARANCES				Deputy General Counsel

WFradenburg/SER/MP (Phone)

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more. The following examples illustrate the operative effect of the \$1 million cutoff test:

Example A: A grant or loan agreement provides \$1 million of assistance. The agreement must be transmitted. All subsequent revisions or amendments of the agreement must also be transmitted when they are entered into irrespective of how much assistance they individually or collectively provide.

Example B: A grant or loan agreement provides assistance of \$500,000. Amendment 1 to the agreement provides an additional \$500,000. Amendment 2 provides a further \$500,000 of assistance. There is no requirement to transmit either the original agreement or either of the amendments.

Example C: A grant or loan agreement provides \$500,000 of assistance. Amendment 1 provides an additional \$500,000 in assistance. Amendment 2 provides a further \$1 million in assistance. The transmittal requirement does not become operative until Amendment 2 is entered into. At that time, both the original agreement and Amendment 1 must be transmitted, along with Amendment 2. All subsequent amendments must likewise be transmitted when they are entered into.

5. All agreements with foreign governments or international organizations (under Section 607 of the Foreign Assistance Act of 1961, as amended) for the furnishing of commodities or services on an advance-of-funds or reimbursement basis, irrespective of the amount of dollar value involved, are deemed significant and must be transmitted by AID to the Department of State under the Case-Zablocki Act.

4. To meet AID's responsibilities under the Case-Zablocki Act, it is essential that all AID Missions transmit to the AID General Counsel all international agreements executed by them which meet the significance tests described above promptly after they are signed.

5. The following requirements apply to such transmittals:

- (a) Two copies of each agreement must be transmitted
If the agreement has been executed (i.e., signed) in both an English text and a foreign language text, two copies of each language text of the agreement must be transmitted.
- (b) Each copy must include a copy of each annex or attachment to the agreement. If the annex or

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attachment is a standardized text which has been published and thus is already available to the Congress, a copy of such annex or attachment need not be included. Such standardized texts include the following, if they are used: ProAg Standard Provisions Annex - AID Form 1330-iB; ProAg Foreign Currency Standard Provisions Annex - Aid Form 1330-lC; and ProAg Special Loan Provisions Annex - AID Form 1330-lD, and will also include the ProAg Standard Provisions Annex to the Limited-Scope Grant Project Agreement when issued by AID/W.

- (c) Each copy must bear the following typed statement signed by any responsible official from the office or mission transmitting the copies: "Certified to be a true copy of the original signed or initialed by (name of U.S. official) and (name of foreign official)." Signed (name of Certifying Officer).
- (d) Each copy must be accompanied by a brief statement describing the nature of the agreement as well as its purposes and objectives and noting any especially significant provision of the agreement (e.g., "This Agreement provides that AID will lend the Government of Country X up to \$10 million for construction of an irrigation system. This system will be used primarily by small farmers and is expected to boost crop yields in the area by Y percent, thus adding Z tons of crop A to the food supply of Country X.").

6. The limitation of the transmittal requirement to "significant" agreements as described above will drastically reduce the number of agreements which AID Missions pursuant to AID Circular A-567, dated October 5, 1975, have been transmitting to the AID General Counsel for submission pursuant to the Case-Zablocki Act. The resultant reduction of administrative burden should facilitate the timely transmittal of the relatively small number of agreements which must be transmitted. In any event, we must stress the need for quick transmittal because the obligation of AID to transmit the agreements to the Department of State within 20 days of the date of signature is statutory and must be met.

7. AID Handbook 3, Chapter 9, will be revised to correspond with this Circular Airgram.

8. The Heads of all AID Missions are requested to take all action necessary to ensure that prompt transmittal of significant international agreements is made to the AID General Counsel in accordance with the foregoing directions.

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PART III

PART III PROCUREMENT OF GOODS AND SERVICES

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DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
PARTICIPANT'S BIOGRAPHICAL DATA

PAGE 3 OF _____

BATCH NUMBER (CC1-2)

PARTICIPANT NUMBER (CC3-8)

REGIONAL NUMBER (CC9-11)

1. COOPERATING COUNTRY

2. PIO/P NUMBER

3. NAME (MR., MRS., OR MISS) CAPITALIZE OR UNDERLINE LEGAL SURNAME (B12-46)

4. HOME/MAILING ADDRESS. STREET (T12-38)

CITY OR TOWN (T43-68)

5. ATTACHMENTS

TRANSCRIPTS

PHOTOS

DEPENDENT CERTIFICATION

OTHER (SPECIFY) _____

6. BIRTHDATE (MO/DAY/YR) (B56-57)

7. PLACE OF BIRTH

8. EMERGENCY CONTACT (COUNTRY OF TRAINING)

9. SEX/ MARITAL STATUS

MALE	FEMALE
<input type="checkbox"/> SINGLE	<input type="checkbox"/> SINGLE
<input type="checkbox"/> MARRIED	<input type="checkbox"/> MARRIED

10. LANGUAGE PROFICIENCY

A. ENGLISH LANGUAGE PROFICIENCY STATUS (Check appropriate box)

TEST GIVEN TEST WAIVED FURTHER TRAINING NECESSARY RETEST NECESSARY

B. APPROXIMATE DATE SCORES OR RATING TO BE REPORTED

C. TEST SCORES/RATINGS (Check and complete appropriate boxes)

TOEFL ALIGU DATE GIVEN

SCORE	USAGE	ORAL	VOCAB	READING	LISTENING

D. PROFICIENCY IN OTHER LANGUAGES

LANGUAGES	SPEAKING			READING			WRITING		
	EXCEL-LEN	GOOD	FAIR	EXCEL-LEN	GOOD	FAIR	EXCEL-LEN	GOOD	FAIR

E. FURTHER TRAINING NECESSARY

HOME COUNTRY RECEIVING COUNTRY

11. IF YOU HAVE LIVED, STUDIED, OR TRAVELLED ABROAD, COMPLETE THE FOLLOWING

COUNTRY	DATES (MO. & YR.)		PURPOSE (E. G., TRAVEL, TRAINING, CONFERENCE, IF TRAINING, INDICATE TYPE OF PROGRAM & SPONSOR)
	FROM	TO	

12. EDUCATION

A. TOTAL YEARS COMPLETED (12-13)

B. HIGHEST DEGREE OBTAINED (CHECK ONE) (M14)

BACH OF ARTS MASTER OF SCIENCE PHD

BACH OF SCIENCE MD OTHER

MASTER OF ARTS DVM NONE

C. COUNTRY WHERE DEGREE OBTAINED

D. COUNTRY CODE (M15-17)

E. LIST BELOW IN CHRONOLOGICAL ORDER, ALL SCHOOLS ATTENDED, INCLUDE PRIMARY, MIDDLE OR SECONDARY SCHOOLS, UNIVERSITIES, VOCATIONAL OR TRADE SCHOOLS. (USE CONTINUATION SHEET IF NECESSARY)

NAME OF INSTITUTION	MAJOR FIELD OF STUDY	LANGUAGE OF INSTRUCTION	DATES ATTENDED		TITLE OF DEGREE, DIPLOMA, OR CERTIFICATE	DATE RECEIVED
			FROM	TO		

13. EMPLOYMENT

A. BRIEF TITLE OF PRESENT POSITION/OCCUPATION (M18-43)

B. DATES OF EMPLOYMENT FROM _____ TO PRESENT

C. TOTAL YEARS (M44-45)

D. PRESENT EMPLOYER (NAME & ADDRESS) (Q38-63)

E. NUMBER OF EMPLOYEES SUPERVISED

F. SIZE (APPROX. NO. OF EMPLOYEES)

G. BRIEF DESCRIPTION OF WORK

GOVERNMENT PRIVATE JOINT STUDENT

DEPARTMENT OF STATE AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT IMPLEMENTATION ORDER/ PARTICIPANTS TRAINING REQUEST FORM PAGE 2 OF _____	1. COOPERATING COUNTRY	2. PIO/ NUMBER
	3. <input type="checkbox"/> ORIGINAL AMENDMENT NO. _____	4. DATE

5. TRAINING REQUEST

A. DESCRIPTION OF TRAINING REQUESTED. (DESCRIBE CLEARLY THE TRAINING DESIRED; SUMMARIZE THE PROJECT INPUT, OUTPUT, AND PURPOSE TO WHICH THE TRAINING WILL BE APPLIED)

**B. ACADEMIC TRAINING ONLY: DEGREE OBJECTIVE
MAJOR FIELD OF STUDY**

C. RELATED INFORMATION

D. PARTICULAR EMPHASIS DESIRED

E. SUGGESTED TRAINING FACILITIES (IF KNOWN)

6. PARTICIPANT'S FUTURE EMPLOYMENT

A. CHECK APPROPRIATE BOX (B47)

GOVERNMENT PRIVATE JOINT

**B. OCCUPATIONAL
CATEGORY CODE
(B48-49)**

DEPARTMENT OF STATE
 AGENCY FOR INTERNATIONAL DEVELOPMENT
 PROJECT IMPLEMENTATION ORDER/
 PARTICIPANTS (PIO/P)

PAGE 1 OF _____

1. COOPERATING COUNTRY _____ 2. PIO/P NUMBER _____

3. PROJECT ACTIVITY NUMBER & TITLE _____

4. APPROPRIATION _____ 5. ALLOTMENT _____

6. PROJECT COMPLETION DATE _____ 7. DESIRED START DATE _____ 8. TERMINAL START DATE _____ 9. NUMBER OF PARTICIPANTS _____

10. ORIGINAL AMENDMENT NO. _____ 11. LOCATION & DURATION OF TRAINING
 US _____ P/M THIRD COUNTRY _____ P/M IN-COUNTRY _____ P/M

12. AID FINANCING

AUTHORIZED AGENT	TYPE OF EXPENSE	(A) PREVIOUS TOTAL	(B) INCREASE	(C) DECREASE	(D) NEW TOTAL
AID	A.				
MISSION	B.				
AID/W	C.				
	D.				
THIRD COUNTRY	E.				
	F.				
13. COOPERATING COUNTRY FINANCING					
14. U. S. TRUST ACCOUNT	A. TRUST ACCOUNT NUMBER		C. AUTHORIZED AGENT	D. CURRENCY UNIT	E. AMOUNT
	B. ALLOTMENT SYMBOL				

15. SPECIAL PROVISIONS

A. REF: P/L NUMBER _____ GRANT _____ LOAN _____

B. NAME(S) OF PARTICIPANTS _____

C. SUPPLEMENTARY INFORMATION _____

16A. MISSION CLEARANCE	DATE	16B. MISSION CLEARANCE	DATE
17. HOST COUNTRY/BORROWER/GRANTEE SIGNATURE		18. AGENCY FOR INTERNATIONAL DEVELOPMENT	
TITLE		TITLE	

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conditions precedent to disbursement have been met and that the scope of the PIO is within the parameters of the project description contained in the Agreement, usually in its Annex 1.

- d. The organizational elements in AID/W having responsibility for procurement, contracting and participant training are the recipients of a PIO and are responsible for taking all actions necessary to implement the instructions contained in the PIO.

4. Amendments

- a. PIOs can be amended to adjust the amount earmarked or to change its content, provided that the action originally requested has not yet been taken (e.g., execution of a contract) or that such action can be amended. In all cases, amendments must be consistent with the Project Agreement and within the funding it provides.
- b. PIOs need not be amended merely to adjust their earmarked value to the actual costs of the transaction. The USAID should, however, take all necessary steps to return funds earmarked but not needed to the "unearmarked" balance in the project account. These steps should be taken as soon as actual costs (eg, the value of a purchase order) are known. A journal voucher referenced to the PIO is normally used to accomplish that purpose. Washington backstop offices should be kept advised as appropriate.

NOTE: Until PIO forms as shown in Attachments are available, the current forms should be used.

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B. Project Implementation Order (PIO)

1. Function

A Project Implementation Order (PIO) is used for procurement where USAID or AID/W undertakes to implement a project element (or arrange for its implementation through a third party). A PIO serves several purposes: it contains a detailed description of the goods or services to be procured or the training services to be arranged, directly or indirectly, by AID; it is thus a "requisition"; secondly, if countersigned by the host government, it constitutes an agreement between AID and the host government on the specific inputs which AID undertakes to provide; and, finally, it is used for the earmarking of funds obligated by a Project Agreement or, when no bilateral Project Agreement is involved (as in centrally administered research projects) for an "administrative reservation" of funds. The inputs requisitioned by a PIO may include (1) the services of personnel under contract to AID; (2) goods (materials or equipment) purchased by AID or by another USG agency or private firm on behalf of and under instructions from AID; or (3) the training of host country nationals outside the host country arranged by AID or another entity on behalf of and under instructions from AID.

2. Forms

PIOs are serially numbered by the issuing unit. Different forms are used to document a request for technical services (PIO/T), for commodities (PIO/C), and for participant training (PIO/P). These forms, together with instructions for their use, are reproduced in Attachment 1, 2, and 3.

3. Preparation and Processing

- a. PIOs are prepared by the officer assigned responsibility for implementation of a project (Project Officer) in consultation with any other staff which may be able to contribute to the writing of technical specifications, details of personnel or training requirements. When PIOs are to be countersigned by the host government, its representatives, primarily those responsible for administration of a project, should also be consulted.
- b. Both within missions and within AID/W, PIOs must be cleared by units or officers having collateral responsibility for the implementation of projects; in missions, these will in all cases include the Controller.
- c. The Project Officer is responsible for assuring that PIOs are consistent with the terms of Project Agreements, that relevant

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- 4) To notify approval or denial of request for extension of terminal dates to meet conditions precedent to disbursement;
 - 5) To treat specific matters related to Special Covenants and General Covenants;
 - 6) To confirm agreements on methods of procurement previously and informally agreed to prior to the signing of the Project Agreement;
 - 7) To clarify or amplify methods of disbursement.
- b. Specific Application of PILs to Project Elements

1) When the B/G is the Implementing Agent

Usually, the basic or first PIL furnishes the B/G with instructions and guidance pertaining to the project agreement with respect to the specific conditions and requirements that the B/G must satisfy. Subsequent PILs may be limited to matters related to implementing a project or elements. They should be used to confirm mutual agreements and understandings reached by AID and the B /G on specific details for implementing the AID-financed project input.

2) When the U.S. Government is the Implementing Agent

When the USG is the implementing agent, many of the details normally contained in the PIL when the B/G is the agent are incorporated instead into the PIO. Under these circumstances, the PIL may be used to transmit the PIO with the substance of the procurement covered in the accompanying PIO. (For further details, see Section VII and subsequent sections for instructions on completing the PIO forms.)

4. Restrictions on Use of the PIL

Under the PIL system, USAID directors are responsible for making certain that PILs are not used to amend project agreements. PILs are used to modify material covered in the agreement only when the terms of the project agreement specifically provide that the authorized parties may effect limited changes or when the project agreement provides for an alternative, e.g., "...such other time (or period, source, level, method, etc.) as the parties (or AID) may agree to in writing". Except as thus authorized, changes in the project agreement are accomplished by formal amendments to the agreement.

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3. Project Implementation Documents

The implementation of virtually all project elements will be documented by either a Project Implementation Letter (PIL) or a Project Implementation Order (PIO). Where the B/G will implement a project element, a PIL will be transmitted to the B/G which will serve to provide guidance, information, or authorization to begin procurement actions. Where USAID or AID/W is to implement a project element (or arrange for its implementation through a third party), a PIO will serve to requisition needed goods and/or services. Both documents will serve to set aside an amount of project funds designated to cover the cost of the procurement or implementation action. This earmarking of funds will be recorded in the project accounts based upon the PIL or PIO as appropriate.

A. Project Implementation Letter (PIL)

1. Policy

It is AID policy that upon agreement signing, the Project Implementation Letter (PIL) be used as the official channel through which AID communicates with the B/G on all matters related to project implementation. It is understood that a considerable amount of communications related to project implementation is of a routine/operational nature, and mission directors may, at their discretion, exclude such communications from the PIL series.

2. Definition

The Project Implementation Letter (PIL) is normally prepared on mission letterhead stationery and signed by the mission director or his/her delegatee. PILs are serially numbered for each project, beginning with the number "1" for the initial instruction to the B/G and subsequent PILs are numbered 2, 3, 4, etc.

3. Coverage

a. General Application of PILs

PILs will normally convey general guidance or specific information to the B/G relative to actual implementation of the project; for example:

- 1) To confirm mutual agreement to changes in Annex 1, the amplified description in the Project Agreement;
- 2) To notify extension of the Project Assistance Completion Date (PACD);
- 3) To notify that conditions precedent are met;

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1. Missions

Missions, in collaboration with the B/G; are responsible for the preparation and maintenance of a project procurement plan for all projects. In addition, whenever AID/W is proposed as one of the procurement agents, missions are required to include in the PP Implementation Plan a procurement plan to the extent it is feasible to do so. This is necessary in order that AID/W may assess the feasibility of AID/W implementing the actions proposed on the plan.

2. AID/W

- a. During the development of the procurement plan, AA/SER offices may be requested by the USAID to consult on a variety of technical matters, e.g., estimated prices, delivery schedule, capabilities of the proposed procurement agent(s), etc.
- b. AA/SER offices will render advice or comment on the procurement plan submitted with the PP, including the following:
 - 1) Advise regarding the feasibility of the proposed starting date and performance schedules, and reasonableness of cost estimates;
 - 2) Advise, if appropriate, regarding the capability of the proposed authorized agent to perform the procurement transaction;
 - 3) Advise regarding the requests for waivers and delegations;
 - 4) Provide any other suggestions or views that can be useful in the design of the project or the preparation of procurement-related documents.

F. Preparation Guidelines

All AID-financed projects are supported by a procurement plan, unless there are no services and commodities involved. The degree of specificity of the plan depends on the type and complexity of the project and, consequently, a universal set of standards cannot be meaningfully applied to all projects.

(In very large projects or projects of an unusual nature, missions may require personnel skilled in particular procurement systems who are not available on mission rolls. In this event, missions should seek assistance from appropriate sources, including neighboring missions and AID/W.)

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- c. the lead times required and the date when the goods and services are physically required for use on the project, e.g., when commodities are to be delivered to the project, when consultant contracts must be made, when personnel are to arrive on site, etc.;
- d. the qualifications, capacity, etc., of the organization proposed as procuring agent.
- e. the cost of each project element broken down by procurement actions showing the fiscal year in which funding is required. Host country contributions (both in kind and cash) are also considered and priced-out in U.S. dollar equivalents. The rate of exchange used in the computation should be noted.

2. Additional Planning Factors

In addition to the above factors, the following questions are also addressed whenever AID or another U.S. Government agency is designated as the procurement agent:

- a. What are the significant procurement factors and considerations, such as:
 - 1) Variation of the AID source rule
 - 2) Proprietary procurement;
 - 3) Negotiated procurement;
 - 4) Waiver of advertising requirements;
 - 5) Waiver of AID marking requirements; or
 - 6) Additional delegation(s) of authority; and/or
 - 7) Special provisions applicable to the procurement transactions beyond normal practices.
- b. What additional procurement steps might be feasible and should be undertaken between PP approval and agreement signing, when and by whom. Note AIDTO CIRC A 289, dated May 20, 1976, on Pre-Implementation Actions.

E. Responsibilities and Procedure

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2. Procurement Planning

A. Policy

It is AID policy that procurement planning be an essential part of the overall project implementation planning process. Such planning identifies early in the project design and approval process major procurement actions which, among other things:

1. Assist in establishing the feasibility of the proposed action; and
2. Aid in meeting the requirements of Sec. 611 of the FAA.

B. Purpose

Procurement planning is conducted jointly between the mission, the Borrower/Grantee (B/G) and other participating parties, if any, in order to develop a detailed plan of action for purposes of coordinating the delivery of project inputs. Such a plan translates and supplements the rather broad-gauged data already in the PP. It is a "time-phased" expression of the work which must be done--and the resources or inputs required--during the foreseeable life of the project to achieve, or contribute to the achievement of, project outputs. It also serves as a major management tool in crystallizing mission and B/G planning for project execution, and enhances actual implementation and monitoring by providing a recognized base against which many project actions can be measured. Finally, the plan provides a convenient summary record of all procurement actions proposed for the major participants, and displays the time-phasing for their initiation over the life of the project.

C. Relationship of Procurement Planning to Other Budget Formats

The project elements included in the procurement plan and schedule are directly related to those elements in the Summary Cost Estimate and the Financial Plan table in the PP. Consequently, such a plan supports the financial and the implementation plan sections of the PP.

D. Major Procurement Planning Considerations

1. General Planning Factors

Normally, procurement planning takes into consideration, among other things, the following factors:

- a. the number and types of contract/procurement actions proposed in order to implement each input;
- b. the source and origin of the goods/services proposed for procurement;

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Project Implementation Procedures and Documentation

1. General

A. Background

AIDTO CIRC A 473, dated August 26, 1976, transmitted a draft report on unification of procedures and documentation leading to procurement. Subsequently, decisions were made which impacted significantly on project procedures. These decisions, along with an analysis of comments from the field and from AID/W offices, resulted in adopting the implementation and documentation procedures outlined in this instruction.

B. Coverage

The implementing documents included in this instruction may be used in conjunction with the new project agreement formats distributed by AIDTO CIRC A 503 (HB 3, Chapter 10), or the old project agreement formats where their continued use is authorized.

C. Policy as to Responsibility for Implementation

It is AID policy that the Borrower/Grantee (B/G) to the extent it has the capacity and capability, be responsible for implementation of mutually agreed upon projects for which AID authorizes use of U.S. funds.

D. Project Implementation Concepts

Implementation is the carrying out of the project, as agreed upon in a project agreement by the signing parties. (Implementation planning and pre-implementation actions, or gearing up actions taken before the agreement is signed or has come into effect, are also included in this definition of implementation.)

It is recognized that the approval process through which the project passes includes the preparation of an "Implementation Plan" and that a summary of this plan, with such changes as deemed necessary, may be included in the detailed description contained in Annex 1 of the agreement.

It is generally not possible to include in the agreement detailed information and/or guidance to the B/G on all matters which may arise during implementation. Further, the agreement generally will not contain all details necessary for AID or other USG offices to effect procurement of specific project elements. The PIO and PIL (Project Implementation Documents, Section 3 below) serve this purpose.

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PROJECT IMPLEMENTATION PROCEDURES AND DOCUMENTATION

TABLE OF CONTENTS

1. General
 - A. Background
 - B. Coverage
 - C. Policy as to Responsibility for Implementation
 - D. Project Implementation Concepts
 2. Procurement Planning
 - A. Policy
 - B. Purpose
 - C. Relationship of Procurement Planning to Other Budget Formats
 - D. Major Procurement Planning Considerations
 - E. Responsibilities and Procedure
 - F. Preparation Guidelines
 3. Project Implementation Documents
 - A. Project Implementation Letter (PIL)
 - B. Project Implementation Order (PIO)
- Attachment 1: PIO/T and Instructions
Attachment 2: PIO/C
Attachment 3: PIO/P and Instructions

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ATTACHMENT A

PROJECT IMPLEMENTATION

PROCEDURES AND DOCUMENTATION

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are used for earmarking.

7. Current PIO forms will continue to be used until revised forms become available.

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This guidance will be incorporated into appropriate Handbooks at a later date.

2. Under current obligation concepts and practices, funds once obligated by a project agreement remain available for the life of the project (Handbook 3, Chapter 9, C. 1. g.). Therefore it is no longer necessary with grants or loans to achieve sub-obligation of funds through simultaneous issuance of implementing documents. (Simultaneous issuance of PIOs was previously required under grants unless the mission director waived the requirement). However, it is essential for project management purposes that orderly records be maintained to control the designation of funds below the project level. Central to this process is the earmarking (designation) of funds within the project to cover the estimated costs of authorized implementation actions. The PIOs and PILs issued serve both to document this earmarking and to describe the implementation actions authorized.

3. The PIO has been used for many years for earmarking funds for grant projects. As this is well established and accepted, PIOs should be used under both loans and grants to document AID-financed project elements which are to be implemented by USAIDs or AID/W. Implementation by USAIDs or AID/W includes actions taken directly by either and actions taken pursuant to actions of AID such as under a direct AID contract, AID Participating Agency Service Agreement or the like. Other implementation documents (Invitational Travel Orders, Excess Property requests and documents related to direct hire personnel, etc.) are used from time-to-time in lieu of the PIO and also serve to earmark funds.

4. The PIL is used as a means of transmitting to the Borrower/Grantee (B/G) guidance, information, documentation and funding specifics on both loan and grant project implementation. When the B/G is the implementing agent, the PIL should contain sufficient details to describe the goods and/or services authorized to be procured by the B/G with AID funds. Since the PIL will be used to document the earmarking of AID-financed project elements which are to be implemented by the B/G, either the PIL itself or AID internal copies only must designate the amount of funds set aside to finance the implementation actions covered. It is recognized, of course, that there will be PILs issued to transmit information to the B/G which do not have this earmarking function.

5. The amounts earmarked by implementing documents may be changed at any time providing the changes are consistent with the funding and other provisions of the project agreement. Implementing documents need not be amended merely to adjust their earmarked value to actual costs of the transaction. The USAID should, however, take all necessary steps to return funds earmarked but not needed to the unearmarked balance in the project account. These steps should be taken as soon as actual costs are known. Washington back-stop offices should be kept advised as appropriate.

6. It should be noted that the earmarking process is separate from the fiscal process reflected in disbursement authorization documents such as Direct Reimbursement Authorization (DRA) and the Letter of Commitment (L/COM). The latter are still necessary for authorizing and arranging disbursements for projects. It is the PIO and PIL documents, however, that identify what is to be procured and authorize procurement action. Issuance of the PIOs and PILs must be controlled to assure that these documents do not authorize procurement in excess of amounts obligated by project agreement. It is for this reason that the PIL and PIO documents

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DEPARTMENT OF STATE III. 2. a

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DATE SENT 2/2/78

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For each address check one ACTION | INFO

TO - AIDTO CIRC A 31

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FROM - AID/W

E.O. 11652:N/A

SUBJECT - Project Implementation Letters (PILs) and Project Implementation Orders (PIOs)

REFERENCE - A. AIDTO CIRC A 650, 12/15/76
 B. AIDTO CIRC A ~~206~~ 207, 5/23/77
 C. State 136885, June 12, 1977
 D. State 154677, 7/2/77
 E. State 164319, 7/7/77

1. References D and E informed you of the decision to rescind the use of the Project Implementation/Procurement Advice (PIPA) and reinstitute the Project Implementation Order (PIO) System. Subsequently, the format of the PIOs and the system for their use have been reviewed with appropriate offices in AID/W. As a result, the following actions are taken:

A. Reference A, AIDTO CIRC A 650, and Reference B, AIDTO CIRC A 207, are rescinded in their entirety.

B. This message transmits draft PIO document forms, two of which have been revised (PIO/T and PIO/P; PIO/C is unchanged). The format of these drafts may be modified during final design but the substance will remain unchanged.

NOTE: The attached draft PIO/T requires more specific documentation for competitive procurement and justification for non-competitive procurement. See Page 7 of PIO/T instructions.

C. This message transmits updated guidance on the use of the Project Implementation Letter (PIL) and PIO in Project Implementation.

Attachment A - Project Implementation, Procedures and Documentation
 Attachment 1: PIO/T and Instructions
 Attachment 2: PIO/C
 Attachment 3: PIO/P and Instructions

Send Airgram and attachments to List P

PAGE 1 OF 3 PAGES

DRAFTED BY <i>J.C. Stanford</i>	OFFICE PPC/PIAS	PHONE NO. 59170	DATE 1/19/78	APPROVED BY: <i>[Signature]</i> AAA/PPC/PIAS:STB/ISS
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A.I.D. AND OTHER CLEARANCES

ASIA/PD:RLove (by Nussbaum)	SER/CM:JWatkins (memo)
LA/DR:JSanbrailo (phone)	SER/COM/CPS:PHazur (phone)
SER/FM:GRobinson (phone)	Clearances Continued on attached page

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STATE 026044 POSS DUPE

PARA. 3C7B --

QUOTE B. IF ANY SUCH PROCUREMENT IS SOLICITED WHICH WILL AMOUNT TO 25,000 DOLS, EXCEPT AS AID MAY OTHERWISE AUTHORIZE UNDER A SINGLE TRANSACTION, A NOTICE THEREOF INCLUDING EQUIPMENT AND MATERIAL SPECIFICATIONS AND ANY OTHER RELEVANT PROCUREMENT DATA, AND COMPLYING WITH 3E1C SHALL BE SUBMITTED IN TRIPPLICATE TO AID (SEE 3C3B (1)) AT LEAST 45 DAYS PRIOR TO THE DATE SAID PROCUREMENT IS TO BE EFFECTED. THIS IS TO PERMIT PUBLICATION IN THE AID FINANCED EXPORT OPPORTUNITIES BULLETIN. END QUOTE.

C. SUPPLEMENT B TO HANDBOOK 1, CHAPTER 12C:

QUOTE (1) FORMAL COMPETITIVE BIDDING AMONG QUALIFIED BIDDERS IS THE NORMAL PROCEDURE FOR AWARDING CONTRACTS FOR PROJECT GOODS OR CONSTRUCTION SERVICES. FORMAL COMPETITIVE BID PROCEDURES (INCLUDING PUBLIC ADVERTISING, ISSUANCE OF INVITATIONS FOR BIDS, PUBLIC OPENING OF SEALED BIDS, EVALUATION OF BIDS, AND AWARD OF A CONTRACT TO THE LOWEST

RESPONSIVE AND RESPONSIBLE BIDDER) ARE USED FOR CONSTRUCTION CONTRACTS AND FOR THE VAST MAJORITY OF PROCUREMENTS OF PROJECT GOODS HAVING A CIF COST EXCEEDING 100,000 DOLS. END QUOTE.

PARA. 12C3B (3) --

QUOTE (3) QUOTE SMALL VALUE END QUOTE PROCUREMENT OF PROJECT GOODS (THOSE NOT EXCEEDING 100,000 DOLS CIF VALUE) MAY BE UNDERTAKEN WITHOUT FORMAL NOTICE AND BIDDING PROCEDURES BUT MUST, NONETHELESS, BE BASED ON SOLICITATION AMONG A REASONABLE NUMBER OF QUALIFIED POTENTIAL SUPPLIERS AND BE AWARDED AT A REASONABLE PRICE. END QUOTE.

PARA 12C3C (3) --

QUOTE (3) IF THE ESTIMATED CONTRACT VALUE DOES NOT EXCEED 100,000 DOLS, NEGOTIATION MAY BE UNDERTAKEN WITHOUT FORMAL SOLICITATION OF PROPOSALS. HOWEVER, INFORMAL SOLICITATION OF SEVERAL SOURCES IS DESIRABLE. END QUOTE.

PARA. 12C3D --

QUOTE D. ADVERTISING AND PREQUALIFICATION

IN ALL CASES, EXCEPT QUOTE SMALL VALUE END QUOTE PROCUREMENT OF GOODS, SERVICES WHICH DO NOT EXCEED 100,000 DOLS IN VALUE, AND SERVICES WHICH WILL BE PERFORMED PERSONALLY BY AN INDIVIDUAL.... END QUOTE.

3. THE CHANGES IN PARA. 2 ABOVE ARE EFFECTIVE IMMEDIATELY AND WILL BE INCORPORATED INTO FORMAL HANDBOOK AMENDMENTS. PLEASE NOTE THAT OTHER SUBPARAGRAPHS WITHIN ANY OF THE CHANGED PARAGRAPHS REMAIN IN EFFECT AND ARE UNCHANGED.

4. WITH REGARD TO SUGGESTION 1B ABOVE, THE PANEL NOTED THAT THE GEOGRAPHIC AA'S MAY REDELEGATE, UNDER PARA. 12C4D OF REF. C., THEIR AUTHORITY TO WAIVE THE REQUIREMENT TO PUBLICIZE THE AVAILABILITY OF PROCUREMENT SOLICITATIONS (IFB'S OR RFP'S) UP TO 500,000 DOLS. ANY MISSION DIRECTOR COULD APPLY TO HIS/HER GEOGRAPHIC AA FOR A REDELEGATION WITHOUT ANY FURTHER PANEL ACTION.

5. PLEASE NOTE THAT THE PHRASE QUOTE OF U.S. SOURCE AND ORIGIN END QUOTE HAS BEEN DELETED FROM PARA. 3C7B OF REF. B. THE PANEL WANTS TO EMPHASIZE THE FACT THAT THE U.S. IS ALWAYS AN ELIGIBLE SOURCE FOR ANY SMALL VALUE PROCUREMENT

AND THAT THE REQUIREMENT TO PUBLICIZE IN THE U.S. IS REQUIRED IN EVERY CASE FOR PROCUREMENTS OVER 25,000 DOLS UNLESS WAIVED.

6. WITH REGARD TO SUGGESTION 1C ABOVE, THE PHRASE QUOTE FROM MORE THAN ONE SOURCE END QUOTE IS NOW DELETED FROM PARA. 2.4.1.1 (B) OF REF. A, PARA. 3C7B OF REF. B, AND PARA 12C3C (3) OF REF. C TO PRECLUDE THE POSSIBILITY OF UNDERMINING THE PROHIBITION AGAINST REDELEGATION IN PARA. 12C4C OF REF. C. THE PROHIBITION ON REDELEGATION OF AA AUTHORITY TO WAIVE COMPETITION AND TO AUTHORIZE THE NEGOTIATION OF A SINGLE-SOURCE CONTRACT WAS ESTABLISHED BY THE ACTING ADMINISTRATOR IN 1977. THE PANEL AGREED TO REFER THE SUGGESTION TO REDELEGATE AUTHORITY TO WAIVE COMPETITION FOR THE PROCUREMENT OF GOODS AND SERVICES UNDER 100,000 DOLS TO THE ADMINISTRATOR FOR HIS RECONSIDERATION AFTER AN ISSUES PAPER HAS BEEN PREPARED. WE INTEND TO PREPARE AN ISSUES PAPER WITHIN THE NEXT 60 DAYS AND SOLICIT ANY ARGUMENTS YOU MAY HAVE FOR SUPPORTING SUCH A REDELEGATION.

7. PLEASE SEND YOUR ARGUMENTS FOR THE REDELEGATION AUTHORITY MENTIONED IN PARA 6 ABOVE AND ADDRESS ANY QUESTIONS ON THIS CABLE TO AID/W, ATTN: SER/CH/SD/POL. VANCE

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PAGE 01 OF 02 STATE 026044 POSS DUPE
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LAC/EMS:MLIVINGSTONE (DRAFT)
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AID ADM GUATEMALA FOR USAID AND ROCAP KARACHI FOR

E.O. 12865: N/A

AAG AND IIS, NAIROBI FOR AID AND REDSO/EA
SUBJECT: INTERIM REVISIONS TO HANDBOOK 11, CHAPTERS 1 AND
3 AND SUPPLEMENT B TO HANDBOOK 1, CHAPTER 12C, COUNTRY
CONTRACTING

REFS: A. HANDBOOK 11, CHAPTER 1
B. HANDBOOK 11, CHAPTER 3
C. SUPPLEMENT B TO HANDBOOK 1, CHAPTER 12C

1. SUMMARY: AS PART OF A REVIEW OF PPC SUGGESTIONS FOR
REDUCING MISSION WORKLOADS AND INCREASING EFFICIENCY, THE
AGENCY'S PROCUREMENT POLICY ADVISORY PANEL WAS ASKED TO
CONSIDER INCREASING VARIOUS AUTHORITIES AND LEVELS FOR
BORROWER/GRAANTEE PROCUREMENT CITED IN REF. C. SPECIFICALLY,
THE PANEL WAS ASKED TO:

- A. RAISE THE SMALL VALUE PROCUREMENT LEVEL FOR COUNTRY
CONTRACTS FROM 50,000 DOLS TO 100,000 DOLS,
- B. AUTHORIZE MISSION DIRECTORS TO WAIVE THE REQUIREMENT
TO PUBLICIZE THE AVAILABILITY OF IFB'S AND RFP'S UP TO
100,000 DOLS, AND
- C. AUTHORIZE MISSION DIRECTORS TO WAIVE COMPETITION AND

APPROVE THE NEGOTIATION OF A SINGLE-SOURCE CONTRACT FOR
PROCUREMENTS UP TO 100,000 DOLS.

2. PROCUREMENT POLICY ADVISORY PANEL RESPONSE:

A. SUGGESTION 1A. ABOVE. THE PANEL APPROVED RAISING
THE SMALL VALUE PROCUREMENT LEVEL FOR COUNTRY CONTRACTS
FROM 50,000 DOLS TO 100,000 DOLS. (SEE HANDBOOK CHANGES

IN PARAGRAPH 3 BELOW.)

B. SUGGESTION 1B. ABOVE. GEOGRAPHIC ASSISTANT ADMINIS-
TRATORS MAY REDELEGATE THE AUTHORITY TO WAIVE ADVERTIS-
ING REQUIREMENTS FOR IFB'S AND RFP'S FOR CONTRACTS UP TO
500,000 DOLS IN ESTIMATED VALUE (SEE HB 1, SUPPLEMENT B,
CHAPTER 12C4C(4)D). PANEL ACTION NOT REQUIRED; SEE
OPTIONS DISCUSSED IN PARAGRAPH 4 BELOW.

C. SUGGESTION 1C. ABOVE. WAIVER OF COMPETITION AND
NEGOTIATION WITH SINGLE-SOURCE TO BE SUBMITTED BY PANEL
FOR ADMINISTRATOR CONSIDERATION (SEE PARAGRAPH 6 BELOW).

3. IN ACCORDANCE WITH PARAGRAPH 2 ABOVE, THE FOLLOWING
HANDBOOK PARAGRAPHS ARE REVISED, EFFECTIVE IMMEDIATELY,
AS FOLLOWS:

A. HANDBOOK 11, CHAPTER 1:

PARA. 2.4.1.1 (B) --

QUOTE (B) IF THE ESTIMATED CONTRACT VALUE DOES NOT
EXCEED 100,000 DOLS, NEGOTIATION MAY BE UNDERTAKEN WITHOUT
FORMAL SOLICITATION OF PROPOSALS. HOWEVER, INFORMAL
SOLICITATION OF SEVERAL SOURCES IS DESIRABLE. END QUOTE.

PARA. 2.5.2 --

QUOTE THIS RULE DOES NOT APPLY TO CONTRACTS WITH AN INDI-
VIDUAL OR WITH AN ESTIMATED VALUE UNDER 100,000 DOLS (SEE
2.4.1.1), FOLLOW-ON WORK (2.4.1.2), OR WAIVER OF COMPETI-
TION (2.4.2). END QUOTE.

B. HANDBOOK 11, CHAPTER 3:

3B6C (2) --

QUOTE FOLLOWING ITS APPROVAL OF THE AWARD, IF THE CONTRACT
PRICE IS 100,000 DOLS OR MORE, AID SHALL PUBLISH NOTICE
OF THE AWARD IN THE COMMERCE BUSINESS DAILY OF THE U.S.

DEPARTMENT OF COMMERCE. END QUOTE.

PARA. 3C6B --

QUOTE B. FOLLOWING AID APPROVAL OF THE AWARD, IF THE CON-
TRACT PRICE IS 100,000 DOLS OR MORE, AID SHALL PUBLISH
NOTICE OF THE AWARD WITH RESPECT TO NONMAJOR EQUIPMENT IN
THE COMMERCE BUSINESS DAILY OF THE U.S. DEPARTMENT OF
COMMERCE. END QUOTE.

PARA. 3C7A --

QUOTE A. ANY PROCUREMENT OF NONMAJOR EQUIPMENT OR MATER-
IALS UNDERTAKEN BY A BORROWER OR A CONTRACTOR ON A COST-
REIMBURSEMENT BASIS, WHEN THE ESTIMATED LANDED COST OF ALL
EQUIPMENT AND MATERIALS PURCHASED BY SUCH BORROWER OR CON-
TRACTOR UNDER A SINGLE TRANSACTION IS LESS THAN 100,000
DOLS, IS EXEMPTED FROM THE REQUIREMENTS OF 3C2 THROUGH
3C6, EXCEPT 3C2D. HOWEVER, SUCH PROCUREMENT IS SUBJECT TO
THE NOTICES REQUIREMENT OF 3C7B BELOW. SUCH PROCUREMENT
SHALL CONFORM TO GOOD COMMERCIAL PRACTICE, SHALL BE
BASED ON THE SOLICITATION OF A REASONABLE NUMBER OF POTEN-
TIAL SUPPLIERS, AND SHALL BE AT REASONABLE PRICES. THIS
EXEMPTION DOES NOT APPLY TO PROCUREMENT UNDERTAKEN IN
AMOUNTS OF LESS THAN 100,000 DOLS FOR THE PURPOSE, OR WITH
THE EFFECT OF, EVADING THE REQUIREMENTS OF SAID SECTIONS.
END QUOTE.

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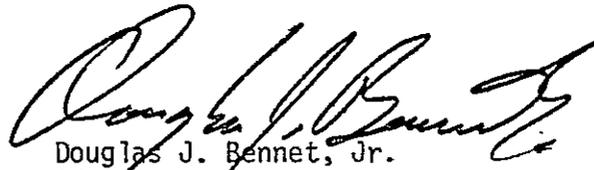
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PD-68

TM 3:33
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The USAID Director is responsible for determining when circumstances warrant an exception to the country contracting policy. Such a determination should be documented in a statement setting forth the reasons and justification for the exception and incorporated in the contract file. A copy of the determination should be incorporated in the first project document (PID, PRP or PP) following the Director's decision to make an exception to the established policy. If an exception is made at a stage after the PP, the statement of justification should be recorded in the USAID project and contract files and a copy transmitted to AID/W by cable. Regional Bureaus and the Auditor General will monitor field application of the policy and justifications for exceptions to it.

The principle of country responsibility and initiative underlying this policy is fundamental to the development of country capabilities in implementation.



Douglas J. Bennet, Jr.
Administrator

POLICY DETERMINATION

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT

Fi. AID HANDBOOK

3, App 5M

TRANS. MEMO NO3:33

EFFECTIVE DATE
August 27, 1979 PAGE NO

-MODE OF CONTRACTING FOR COUNTRY SPECIFIC, BILATERAL PROJECT ASSISTANCE, LOAN, OR GRANT

PD-68

I. Background

III.1

A fundamental principle of AID and its predecessor agencies has been that the countries it assists should themselves undertake the implementation of their development programs, rather than employ AID as agent to do so.

This principle rests on a number of considerations, the first and most important of which is that the ultimate responsibility for all development projects rests with the countries whose projects they are. Moreover, the process of implementation is itself an important opportunity for development of technical, institutional and administrative skills. To the extent AID performs as implementing agent, countries forego those benefits. Finally, AID is not principally a procurement agency and must conserve its staff resources for its primary functions as a planning, financing and monitoring agency.

The foregoing principle has been consistently observed by AID and its predecessor agencies with respect to loan-financed project assistance contracts. It has been general practice, however, for AID to contract directly on behalf of host countries for most grant-funded services and commodities. This dichotomy derived principally from the fundamentally different characteristics of the loan-funded capital projects and grant-funded technical assistance projects of the 1950s and 1960s. AID projects of today, however, whether loan or grant, have largely common characteristics. Many are suitable for either loan or grant financing and some make use of both.

II. General Policy

AID policy is, therefore, one of preference that the procurement of AID-financed project goods and services required to implement bilateral project agreements be undertaken by Borrowers/Grantees rather than by AID. The policy applies to all country specific* project assistance procurement. USAID Directors, Representatives or Affairs Officers are

* Certain categories of procurement contracts (and all categories of institutional and research grants) are reserved for direct AID implementation, because the services and goods they procure are not used directly and solely in support of the projects of a single Borrower/Grantee. They include: Worldwide and Regional Contracts for Professional and Technical Services and Commodities; contracts responding to Unsolicited Research and Analysis Proposals; Requirements Contracts; Indefinite Quantity Contracts; contracts following from Basic Agreements and Basic Ordering Agreements; and AID-OPEX contracts "topping off" OPEX personnel salaries, for all of which the AIDPR's continue to govern.

AIC 1350-1X (8-77)	DEPARTMENT OF STATE AGENCY FOR INTERNATIONAL DEVELOPMENT	1. Cooperating Country	Page 1 of Pages
PIO/T	PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES	2. PIO/T No.	3. <input type="checkbox"/> Original or Amendment No. _____
		4. Project/Activity No. and Title	
DISTRIBUTION	5. Appropriation Symbol		6. ALLOTMENT SYMBOL AND CHARGE
7. Obligation Status <input type="checkbox"/> Administrative Reservation <input type="checkbox"/> Implementing Document		8. Project Assistance Completion Date (Mo., Day, Yr.)	
9. AUTHORIZED AGENT		10. THIS PIO/T IS IN FULL CONFORMANCE WITH PRO/AG _____ DATE _____	
11A. TYPE OF ACTION AND GOVERNING AID HANDBOOK <input type="checkbox"/> AID CONTRACT (HS 14) <input type="checkbox"/> PASA/RJSA (HS 12) <input type="checkbox"/> AID GRANT (HS 13) <input type="checkbox"/> OTHER		11B. CONTRACT/GRANT/PASA/ RSSA REFERENCE NUMBER (IF THIS IS AN AMENDMENT)	
12. ESTIMATED FINANCING (A DETAILED BUDGET IN SUPPORT OF COLUMN (2) IS ATTACHED AS ATTACHMENT NO. _____)			
		(1) Previous Total	(2) Increase
		(3) Decrease	(4) Total to Date
13. Mission References	14A. Instructions to Authorized Agent		
14B. ADDRESS OF VOUCHER PAYING OFFICE			
15. Clearances - INCLUDE TYPED NAME, TELEPHONE NUMBER AND OFFICE SYMBOL IMMEDIATELY BELOW SIGNATURE AND DATE FOR ALL CLEARANCES			
A. THE PROJECT OFFICER CERTIFIES THAT THE SPECIFICATIONS IN THE STATEMENT OF WORK ARE TECHNICALLY ADEQUATE	PHONE NO. DATE	B. THE STATEMENT OF WORK LIES WITHIN THE PURVIEW OF THE INITIATING AND APPROVED AGENCY PROGRAMS	DATE
C.	DATE	D. FUNDS FOR THE SERVICES REQUESTED ARE AVAILABLE	
E.	DATE		
16. For the cooperating country: The terms and conditions set forth herein are hereby agreed to		17. For the Agency for International Development	
Signature _____	DATE _____	Signature _____	DATE _____
Title _____		Title _____	

307.14

AID 1350-1X (8-77)	Cooperating Country	PIO/T No.	Page 2 of	Pages
PIO/T	Project/Activity No. and Title			

SCOPE OF WORK

18. THE SCOPE OF TECHNICAL SERVICES REQUIRED FOR THIS PROJECT ARE DESCRIBED IN ATTACHMENT NUMBER _____ HERETO ENTITLED "STATEMENT OF WORK".

19. SPECIAL PROVISIONS

- A. LANGUAGE REQUIREMENTS (SPECIFY) _____
(IF MARKED, TESTING MUST BE ACCOMPLISHED BY AID TO ASSURE DESIRED LEVEL OF PROFICIENCY)
- B. ACCESS TO CLASSIFIED INFORMATION WILL WILL NOT BE REQUIRED BY TECHNICIAN(S).
- C. DUTY POST(S) AND DURATION OF TECHNICIANS' SERVICES AT POST(S) (MONTHS)
- D. DEPENDENTS WILL WILL NOT BE PERMITTED TO ACCOMPANY TECHNICIAN.
- E. WAIVER(S) HAVE BEEN APPROVED TO ALLOW THE PURCHASE OF THE FOLLOWING ITEM(S)
(COPY OF APPROVED WAIVER IS ATTACHED)
- F. COOPERATING COUNTRY ACCEPTANCE OF THIS PROJECT (APPLICABLE TO AID/W PROJECTS ONLY)
 HAS BEEN OBTAINED HAS NOT BEEN OBTAINED
 IS NOT APPLICABLE TO SERVICES REQUIRED BY PIO/T
- G. OTHER (SPECIFY)

20. BACKGROUND INFORMATION (ADDITIONAL INFORMATION USEFUL TO AUTHORIZED AGENT)

21. SUMMARY OF ATTACHMENTS ACCOMPANY THE PIO/T (INDICATE ATTACHMENT NUMBER IN BLANK)

- _____ DETAILED BUDGET IN SUPPORT OF INCREASED FUNDING (BLOCK 12)
- _____ EVALUATION CRITERIA FOR COMPETITIVE PROCUREMENT (BLOCK 14)
- _____ JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT (BLOCK 14)
- _____ STATEMENT OF WORK (BLOCK 18)
- _____ WAIVER(S) (BLOCK 19) (SPECIFY NUMBER)

30715

AID 1350-1X (8-77)	Cooperating Country	PIO T No.	Page 3 of	Pages
PIO/T	Project Activity No. and Title			

22. Relationship of Contractor or Participating Agency to Cooperating Country and to AID

A. Relationships and Responsibilities

B. Cooperating Country Liaison Official

C. AID Liaison Officials

LOGISTIC SUPPORT

23. Provisions for Logistic Support	IN KIND SUPPLIED BY		FROM LOCAL CURRENCY SUPPLIED BY		TO BE PROVIDED OR ARRANGED BY SUPPLIER
	AID	COOPERATING COUNTRY	AID	COOPERATING COUNTRY	
A. Specific Items (Insert "X" in applicable column at right. If entry needs qualification, insert asterisk and explain below in C. "Comments")					
(1) Office Space					
(2) Office Equipment					
(3) Housing and Utilities					
(4) Furniture					
(5) Household Equipment (Stoves, Refrig., etc.)					
(6) Transportation in Cooperating Country					
(7) Transportation To and From Country					
(8) Interpreter Services/Secretarial					
(9) Medical Facilities					
(10) Vehicles (official)					
(11) Travel Arrangements/Tickets					
(OTHER SPECIFY) (12)					
(13)					
(14)					
(15)					

B. Additional Facilities Available From Other Sources

APO/FPO

PX

COMMISSARY

OTHER (specify, e.g., duty free entry, tax exemption)

FORMAT

P T No. _____

B U D G E T

The technical services required by this PIO/T are expected to begin on _____ and end on _____
 (date) (date)

<u>CATEGORY</u>	<u>DESCRIPTION</u>	<u>ESTIMATED COST</u>
<u>Salaries</u>	(Job title or speciality (work-months of required for project) assignment)*	\$
<u>Fringe Benefits:</u>	(payroll cost)	\$
<u>Consultants:</u>	(Speciality required (work-months of for the project) assignments)*	\$
<u>Transportation and Travel:</u>		\$
<u>Allowances:</u>		\$
<u>Equipment, Vehicles, Materials and Supplies:</u>		\$
<u>Participant Training:</u>		\$
<u>Subcontracts:</u>		\$
<u>Other Direct Costs:</u>		\$
<u>Overhead:</u>		\$
<u>Fixed Fee or Profit:</u>		\$
<u>GRAND TOTAL</u>		\$

* one work-month equals 21.7 days

STATEMENT OF WORKA. OBJECTIVE:

The general objective should be stated. The Statement of Work should be single spaced in order to conserve paper and copying time.

B. SCOPE OF WORK:

1. The scope of work section should identify the separate elements of the project. Consideration should be given to the amount of detail to be included to assure that misinterpretations do not occur.

2. The Statement should be so written in the active rather than the passive voice and in a contractible manner so that the Statement of Work can be incorporated into the Contract/Grant/PASA or other implementing document.

C. REQUIRED REPORTS:

1. Indicate type, content and format of reports required in the resultant Contract/Grant/PASA or other implementing document unless the option set forth in paragraph 2 below is exercised.

2. When required reports are not included in the Statement of Work, the standard clauses for reports included in Handbooks 12, 13 and 14 will be assumed to be applicable.

3. Indicate language to be used if other than English, the frequency or timing of reports, distribution (with number of copies included for each) and any other special requirements.

PREPARATION OF THE PIO/T, FORM AID 1350-1

NOTE: Discretion must be exercised in the handling of completed PIO/T's. Estimated financing data (including detailed budget) shall not under any circumstances, be given to prospective contractors and grantees.

Instructions for completing the PIO/T form AID 1350-1, and using the Continuation Sheet, form AID 1300-1, are as follows:

A. Page Number 1 (face sheet) - Blocks 1 through 17:

Block 1 - Cooperating Country. Insert the name of the country, region or interregional program benefiting from the assistance.

Block 2 - PIO/T Number. Insert the complete PIO/T number (reference Handbook 18).

Block 3 - Original or Amendment Number. Check the box if this is an original PIO/T or, if an amendment to a previously issued PIO/T, insert the number of the amendment. Amendments are numbered consecutively against each original PIO/T.

Block 4 - Project/Activity Number and Title. Insert the complete number and title of the project as entered on the face sheet of the Project Agreement or other obligating document; add subtitle, if any. For a technical support activity, insert the number and title that was used in the Activity Description and authorizing documentation (reference Handbook 18). For projects financed by loan funds, insert the Loan Number and Disbursement Authorization Number in this block.

Block 5 - Appropriation Symbol. Cite the current Appropriation Symbol used for the related Project Agreement, Activity Description or Allotment Advice issued for interregional programs for the AID funds which are to be charged for the amounts shown in Block 12A(4). If the PIO/T is to be financed from more than one appropriation and allotment, insert the word "multiple" in this block and indicate in Block 14A whether: (i) one specified allotment will be charged for all costs until the funds are exhausted and then another specified allotment will be charged, or (ii) each bill will be charged to each of the allotments on a specified percentage or other basis, or (iii) all commodities will be charged to one specified allotment and all other costs to a different specified allotment, etc. In cases of multiple funding, a complete listing of the number of each appropriation/allotment, indicating the amount applicable to each, shall be included in Block 14A.

Block 6 - Allotment Symbol and Charge. Insert the allotment symbol used on the related Project Agreement or Activity Description or other obligating document. When more than one allotment is utilized, insert the word "multiple", and follow the procedure outlined in Block 5 above.

Block 7 - Obligation Status. Mark "Administrative Reservation" if the services are not funded by a Project Agreement or other obligating document indicating that funds will require revalidation before implementing document is fully executed. Mark the box indicating "Implementing Document" if the services are funded by a Project Agreement or other obligating document.

Block 8 - Project Assistance Completion Date. Insert the project assistance completion date (see Handbook 3, Chapter 10).

Block 9 - Authorized Agent. Insert in this block the name of the Authorized Agent, such as (1) AID/W, (2) AID/W through _____ (a named U.S. Government agency), or (3) Mission.

Block 10 - PIO/T Conformance with PRO/AG. If applicable, insert number and date of project agreement; if not applicable, insert "N/A".

Block 11A - Type of Action and governing Handbook. Mark "AID Contract" when AID is to negotiate and execute a contract or amendment to a contract, mark "PASA/RSSA" when a Participating Agency Service Agreement or a Resources Support Service Agreement is planned or extended, mark "AID Grant" when AID is to execute a grant; and mark "Other" for special situations not separately identified in this block and provide an explanation in Block 14A.

Block 11B - Contract/Grant/PASA/RSSA Reference Number. If Block 3 indicates that PIO/T is an amendment, then insert the appropriate contract/grant/PASA/RSSA number which implemented the original PIO/T.

Block 12A - Estimated Financing. Blocks 12A and 12B must show the maximum amount of AID funds which may be committed pursuant to the PIO/T (or amended PIO/T) and which are required to finance the services, as well as the related equipment and supplies to be procured during the funding period specified in Block 14A. The requirements for filling in Lines 12A and 12B are identical except Line 12A shows the AID commitments of U.S. Dollar funds and Line 12B shows the commitment of U.S. owned local currency funds available for program uses under this PIO/T. If this is an original PIO/T, the dollar and local currency amounts on Lines 12A and 12B are entered both in Column (2), Increase and Column (4), Total to Date. When amounts appear in Block 12A(2) and 12B(2), a detailed explanation of the individual components shall be provided in a "Detailed Budget in Support of Increased Funding"; Block 21A will be marked; and the estimate, following the format provided herein, will be attached to the PIO/T.

Block 13 - Mission References. Insert appropriate references, including identifying numbers to authorizing messages.

Block 14A - Instructions to Authorized Agents. Explain "other" when marked in Block 11A. Indicate the expected period of time for which implementing document (contract, grant, PASA/rssa, etc.) is intended to cover, including when services are to start and finish (Target date and/or "no-later than" dates so identified). State any other special requirements which may bear on the procurement to be effected under the PIO/T. Include, when pertinent, an explanation of timing (i.e. when will services be required to mesh with other projects, etc.) exigencies, priorities, or exceptional factors of relevance. Insert also, when appropriate, details on multiple appropriations or allotments.

If the PIO/T provides additional funds for continuing services, with no change in the scope of work, then indicate and identify the services by prior-year PIO/T Number, by contract or PASA number or by other appropriate reference. When the PIO/T is for a PASA covering a simple detail or for extension of contract, grant or PASA which is describable in a few sentences, use this block to summarize the purpose of the PIO/T. In such cases, only page 1 of the PIO/T need be completed.

For all competitive procurements, list suggested sources (i.e., commercial firms, nonprofit or educational institutions), include the Evaluation Criteria to be used in evaluating proposals and mark Block 21B). For noncompetitive procurements, note here and attach Justification for Noncompetitive Procurement and mark Block 21C.

Block 14B - Address of Voucher Paying Office. Insert the paying office which will be responsible for paying vouchers submitted against this PIO/T.

Block 15 - Clearances. The initiating officer (e.g., Project Officer) normally signs and dates in Block 15A. The project management officer in the mission, bureau, or office signs Block 15B. If appropriate, Block 15C is signed by the individual responsible for coordinating the logistic support. The mission Controller or AID/W funds control officer signs in Block 15D. Other appropriate clearances may be shown in Block 15E (i.e., the mission, desk, contracting officer).

Block 16 - Signature Block for the Cooperating Country. On each mission or AID/W issued PIO/T under which the cooperating country supplies monetary, logistic, or in-kind support which is not specified in a Project Agreement in the permanent records of the Mission, obtain the signature of the authorized representative of the cooperating country or borrower/grantee. The counter-signed copy must be retained in the permanent records of the mission.

Block 17 - For the Agency for International Development. For a mission issued PIO/T, obtain the signature of the Mission Director, or his designee, as authorized by a written delegation of authority. For an AID/W issued PIO/T, insert the signature of the Assistant Administrator, or his designee, pursuant to a written delegation of authority. The signature of the Mission Director or Assistant Administrator, or their designee, indicates that all necessary clearances have been obtained and the PIO/T has been approved and issued on the date indicated.

B. Page Number 2 - Blocks 18 through 21:

Block 18 - Scope of Technical Services. Insert the number of the attachment which provides the clear, adequately detailed, concise description of the required technical services (see format for Scope of Technical Services provided herein).

Block 19A - Language Requirements. (1) Indicate the language(s) and the proficiency levels (speaking and reading -- "S" and "R") required of the technicians in order to perform effectively using the policy and definitions set forth in AID Handbook 28. For example, if French is the language required at the "2" speaking and reading levels, "French S-2, R-2" shall be indicated on the PIO/T. If language proficiency is not essential, enter "none required". (2) When a language requirement is shown on a PIO/T, the technician's proficiency will be tested through the Office of Personnel and Manpower, Professional Studies & Career Development Division (PM/PS&CB) AID/W, to determine whether or not he/she meets that requirement. If the language requirement is not met, language training may be authorized by the Contracting Officer, with the concurrence of the appropriate Bureau(s) and scheduled by PM/PS&CB. Funds should be provided for language training, if required.

Block 19B - Access to Classified Information. Indicate which contractor, RSSA or PASA employees, if any, will require access to restricted premises or classified material. If such access is necessary, state the level of security clearance that will be required.

Block 19C - Duty Posts and Duration of Technician's Services. Identify sites where the services are to be performed (i.e., the duty posts and period of time the technician's services will be required). When some services are to be performed at locations other than the principal site, identify such locations and any unusual factors (such as climatic conditions, limited accessibility, etc.), the number of months of technician's services required at each site, the needs for field travel, and other relevant factors (especially when these might have a significant bearing on costs, the physical requirements of technicians or their willingness to accept the assignment).

Block 19D - Dependents. Insert a checkmark in one of the two boxes to indicate whether dependents will be permitted to accompany the employees of the contractor or participating agency. This determination often will affect the ability of the contractor or agency to recruit necessary personnel.

Block 19E - Waivers. Mark block if waivers have been approved to allow services or commodities to be procured from other than U.S. sources, list each in space provided and also mark Block 21E.

Block 19F - Cooperating Country Acceptance. Mark box which applies to services required by PIO/T.

Block 19G - Other. If marked, specify additional or alternative special provisions which apply.

Block 20 - Background Information. Insert a listing and description of sources, if any, of pertinent background information which might be useful to the Authorized Agent or of assistance to a prospective contractor in preparing proposals or bids or, if selected, in actually performing the technical services covered by the PIO/T. Listed sources may include articles, surveys, technical reports, telegrams, airgrams, memoranda from AID files, or, when it is known that Post Reports are obsolete or not available, sources of information of the type that normally would be in such reports. Occasionally, the Mission may find it advisable to summarize local conditions and facilities in an attachment to the PIO/T.

Block 21 - Attachments Accompanying PIO/T. Mark all boxes which apply to the PIO/T. If Block 21E is marked and more than one waiver is listed in Block 19E, identify each waiver as a separate attachment and insert total number of waivers attached in the blank provided.

C. Page Number 3 - Blocks 22 and 23:

Block 22 - Relationship of Contractor or Participating Agency to Cooperating Country and to AID. In the following blocks, list those relationships which will provide the technician with a clear picture of expected relationships and contacts.

Block 22A - Relationships and Responsibilities: (1) Insert the name of the cooperating-country agency and/or institution for which the proposed technical services are to be provided. Describe, generally, the organizational structure (attach an organization chart, if available). Indicate the particular areas within the agency and/or institution which will be the direct points of contact

for the technicians. State insofar as practicable, the lines of authority and supervisory responsibility as they may affect the supplier. Identify also, as appropriate, other national or local agencies and institutions which will benefit directly or indirectly from the services to be provided; (2) Indicate the administrative and operational responsibilities of the contractor or participating agency and his employees in relation to the mission. (Identify and explain joint or divided responsibilities).

Block 22B - Cooperating-Country Liaison Official. Insert the title and address of the cooperating-country official responsible for maintaining liaison with the contractor or participating agency.

Block 22C - AID Liaison Officials. Insert the title and location of the designated AID/W and mission liaison officials.

Block 23 - Logistic Support. AID policy concerning the provision of logistic support by the contractor, the cooperating country, and the mission under a contract is set forth in Handbook 14.

Block 23A - Specific Items. Indicate any logistic support that either the mission or the cooperating country will furnish a contractor or a participating agency, or that a contractor is expected to provide or arrange for himself, by marking the corresponding space. The information provided here must be reliable as well as explicit for each category, since price estimates and commitments (both by AID to the contractor/grantee/participating agency and by the supplier to his employees) will be based upon it. The PIO/T and the Project Agreement must agree as to specific items of logistic support to be provided by the mission and the cooperating country.

Logistic support anticipated from the cooperating country is to be confirmed before submission of the PIO/T and fully specified within it. Cooperating countries are to be aware of, and have accepted, their obligations as stated in this block, and are to be in a position to fulfill them. Promised facilities, when possible, are to be approved by the mission to assure that they are suitable to the anticipated needs of the supplier and are in acceptable condition.

Block 23B - Additional Facilities Available From Other Sources. Check appropriate box if these facilities are definitely available for the supplier's (contractor, grantee/PASA/RSSA) employees. Include a listing of any other facilities which are definitely available for use of the supplier's employees. In addition, list those facilities whose availability for AID contractor/grantee/PASA/RSSA employee use is not yet determined, and state whether the Mission intends to exercise its best efforts to obtain such privilege for AID-direct-contract personnel use.

D. Preparation of Attachments Listed in Block 21:

1. Detailed Budget in Support of Increased Funding. The detailed estimated budget should be prepared on plain white paper generally following the format provided in these instructions. In order to obtain reasonable and equitable funding amounts for inclusion in a contract, grant, PASA or other implementing document, it is essential that a clear understanding of the rationale

behind all estimates be presented in the budget attached to the PIO/T. The authorized agent must be able to distinguish between verifiable data submitted and judgmental factors which have been included in the estimates submitted. The budget attachment should be prepared substantially as follows:

Identification. The top right-hand corner should contain the Attachment Number applicable to the PIO/T being prepared and immediately thereunder the PIO/T Number so that if the documents become separated they can be readily identified.

Period of Performance. Immediately following the title "BUDGET", state the period for which the funds provided by the PIO/T are expected to begin and end.

Salaries. List each individual technician required to perform technical services indicating desired profession and acceptable level or standards within the profession or non-professional classification. For each individual, list; (i) work-months required (one work-month equals 21.7 days) and/or percentage of time expected to be devoted to work during the period stated above and (ii) anticipated salary.

Fringe Benefits. Indicate the percentage used to compute estimate and provide estimated total.

Consultant(s). List each consultant required for the project indicating (i) the specialty field, (ii) the work-months required and (iii) the anticipated rate per workday. If applicable, add a note here that "fees include travel and transportation costs".

Travel and Transportation. Indicate how many round or one-way trips are expected and identify destination. Indicate estimated travel costs for dependents, if appropriate. Also, include expected transportation for household effects and baggage and vehicles. Add an allowance for estimated storage if long term assignments are anticipated. If orientation or language training is appropriate, include funding for correspondent travel.

Allowances. Identify appropriate allowances and explain basis for estimate. Allowances include such items as per diem, post differential, education, quarters, separate maintenance, language training, orientation, etc.

Equipment, Vehicles, Materials and Supplies. List type of known equipment, vehicles and other materials/supplies required to be purchased for project use with funds provided in PIO/T plus the estimated cost of each.

Participants Training. List fields in which participants will be trained, length of training period, and where training is planned. Explain basis of estimates (e.g., travel included/excluded, subsistence allowance, tuition per participant, etc.).

Subcontract(s). Identify type of work to be subcontracted indicating percentage of the total scope of work and anticipated amount of each subcontract.

Other Direct Costs. List all other direct costs, such as medical examinations, communication, etc.

Overhead. Indicate the rate used to compute the overhead estimate and provide basis for computation.

Fixed Fee or Profit. Explain the process by which the fixed fee or profit was estimated and state the dollar estimate in column provided.

Grand Total. Add column totals or category totals, whichever is suitable.

2. Evaluation Criteria for Competitive Procurement. For a competitive procurement provide the criteria which can be used to evaluate proposals which will be submitted in response to a Request for Proposals (RFP). The various factors of the criteria should be listed in order of importance and/or numerical weights (based on a total scale of 100) should be assigned to each element. Criteria may include such things as (i) General Quality and Responsiveness of Proposal (e.g., completeness/thoroughness, responsiveness to all terms and conditions; etc.); (ii) Organization, Personnel and Facilities (e.g. evidence of good organization/management practice, qualifications/availability of personnel, experience in similar or related fields, record of past performance etc.); (iii) Technical approach (e.g. understanding of project, proposed work plan, staffing pattern, scheduling/ability to meet schedules, etc.) and (iv) cost factors (e.g. necessity of various cost elements reasonableness of amounts estimated for necessary costs, etc.). Evaluation Criteria shall be prepared on plain white bond with attachment number and PIO/T number identified in the upper right-hand corner.

3. Justification for Noncompetitive Procurement. Attach the approved Justification for Noncompetitive Procurement which was prepared in conformance with the instructions contained in AIDPR 7-3.101-50 (Handbook 14). Identify the attachment number in the upper right-hand corner and indicate PIO/T number directly thereunder.

4. Statement of Work. The Statement of Work shall be prepared on plain white bond and identified in the upper right-hand corner in the general format attached. The Statement should be so written in the active rather than the passive voice and in a contractible manner so that the Statement of Work can be incorporated into the contract/grant/PASA or other implementing document.

The Statement of Work is probably the most important single document written. The attachment needed here is a document which clearly spells out AID's requirement. It should be written with enough specificity that there will be no doubt of what is desired. It must provide for clear target dates which must be met, goals, and objectives for a particular project. Vague descriptions should always be avoided.

Enumerate all obligations of the Government (e.g., Government furnished equipment, services, etc.). If progress is dependent upon AID approval before proceeding from one stage to another, this must be stated. Intentions cannot be read into work statements, therefore, close all loopholes. To be legal and binding, an agreement must be complete. Not only for reasons of legality, but for every practical application, it is necessary that details be complete.

Some unknown quantities will always exist. The easy out is to use "when required" or "as necessary", "maximum possible use of existing", "where feasible", and similar meaningless words. This practice speeds up the writing, but catches up with you, first when you try to estimate the job and again during performance of the contract. Very often you can get an immediate decision, if you try, on number (such as number of specimens to be tested) or date due, instead of writing, "as required". When immediate decisions cannot be made, it is usually possible to include a procedure by which the decision will be made. This does not have to be complicated. It can be merely a statement such as "as approved by the contracting officer" or "at the contractor's discretion".

Specify progress, final, or other reports required of the contractor, grantee, or participating agency indicating (1) frequency (e.g., quarterly, monthly, ad hoc, and/or final), (2) content and format, (3) language translation requirements, if other than English, (4) number of copies and (5) desired distribution to Mission, AID/W, cooperating country government, project manager, and contracting/grant officer. Two copies of each PASA/RSSA report must be provided to CM/PAS; three copies of each contractor or grantee report must be provided to SER/DM/ARC. The appropriate project activity, PIO/T, and contract/grant/RSSA PASA number is to be indicated on each report. See Sections 7-7.5001-16 and 7-7.5501-13 of AID Handbook 14 for standardized report requirements for AID contracts). Reference Handbook 13 for standardized reporting requirements for grants. Report requirements are to be analyzed carefully and tailored to the needs of each project. Reports should be comprehensive enough to allow them to be used in evaluating both project progress and contractor/grantee performance.

5. Waivers. Attach all approved waivers. Identify the attachment number in the upper right-hand corner and indicate PIO/T number directly thereunder.

E. Continuation Sheet, Form AID 1300-1. When the space provided in an individual block on the PIO/T is insufficient to insert the required data, a note shall be made in that block, "continued on AID Form 1300-1, Page ____" and said form shall be attached to the PIO/T.

DEPARTMENT OF STATE
AGENCY FOR
INTERNATIONAL DEVELOPMENT

Worksheet Issuance

PAGE 1 OF ___ PAGES

PIO/C

PROJECT IMPLEMENTATION
ORDER/COMMODITIES

1. Cooperating Country

2. PIO/C No.

3. Project/Activity No. and Title

4. Appropriation Symbol

5. a. Allotment Symbol & Charge

5. b. Funds Allotted To:

AID/W Mission

6. Obligation Status

Administrative
Reservation

Obligation

Sub-Obligation

7.

Original or
Amendment No: _____

8. Authorized Agent

9. Method of Financing

a. U.S. Government

b. Letter of Commitment

c. Reimbursement

10. Banking Institution

11. Approved Applicant

12. Contracting Period (Mo., Day, Yr.)

From: To:

13. Delivery Period (Mo., Day, Yr.)

From: To:

14. Final Contribution Date

(Mo., Day, Yr.)

15. Area of Source

16. Dollar Value

U.S. & Possessions

A.
Previous Total

B.
Increase

C.
Decrease

D.
Total to Date

17. Commodity Code

18.
Item No.

19.a. Quantity, Description, Specifications, Instructions and Special Provisions
(Include Catalog Name and Number, where Appropriate)

19.b. Estimated Cost

20. Mission References

(See Authority and Letter of Commitment on Reverse)

TOTAL:

21. Mission Clearances

Date

Mission Clearances

Date

22. Date of Original Issuance

23. Date of this Issuance

24. For the Cooperating Country--
The terms and conditions set forth herein are hereby agreed to:

25. For the Agency for International Development

SIGNATURE

DATE

TITLE

SIGNATURE
For the Administrator

TITLE

30727

AUTHORITY AND LETTER OF COMMITMENT

1. Authority

This Project Implementation Order is issued under the authority contained in the Foreign Assistance Act of 1961, as amended, and is subject to the terms and conditions herein specified and the provisions of AID Regulation 1 as amended at any time up to the date of issuance of this PIO.

2. Letter of Commitment to U.S. Banking Institution Specified in Block 10

In consideration of your issuance or confirmation at your option of one or more commercial letters of credit or making at your option payment to suppliers (no such letter of credit to have a maturity, and no such payment to be made, later than the last day of the month following the terminal delivery date specified in Block 13 of this PIO), in accordance with application or request therefor by the Approved Applicant, the Administrator agrees with, and guarantees to you that, in accordance with the said Act, he will make reimbursement (without addition of interest or of your commissions, expenses or other charges) to the Approved Applicant in the manner and subject to the terms and provisions of subparts F and H of AID Regulation 1, as in effect at the date hereof, of all amounts paid by you at sight under any such commercial letter of credit for the account of the Approved Applicant and the amount of all payments by you at sight to suppliers

for account of the Approved Applicant, up to but not exceeding the dollar amount specified in Block 16.d., for the procurement of the commodity or service specified herein, and subject to the special provisions referred to below. The making of reimbursement hereunder shall be governed solely by the terms and provisions of said subparts F and H, incorporated herein by reference, and shall not be affected by any rights that the Administrator or the United States Government may have against the cooperating country, the Approved Applicant or third parties. In any action taken by you hereunder, you may rely fully on the authorities and signatures of the Approved Applicant as designated and identified by the Administrator or known to you from your own records.

You will be concerned only with the special provisions shown in Block 19.a. of this PIO under the heading, U.S. Banking Institution Responsibilities.

You are hereby approved as an assignee of the moneys due and to become due under this authorization.

If this commitment is satisfactory to you, please sign and return one copy of this PIO/C to the AID issuing office.

ACCEPTED FOR U.S. BANKING INSTITUTION		
NAME	AUTHORIZED SIGNATURE	DATE

INSTRUCTIONS FOR COMPLETION OF PROJECT IMPLEMENTATION ORDER/PARTICIPANTS

Page 1 - Face Sheet

Block #1 - Cooperating Country: Insert the name of the cooperating country.

2 - PIO/P Number: Insert the PIO/P number in accordance with the instructions contained in Section III of Appendix D, Handbook 18.

3 - Project Activity Number & Title: Insert the project activity number and title. For contract participants, also indicate the name of the contractor and contract number. When applicable, enter the loan number..

4 - Appropriation Number: Enter the appropriation number, or if a non-funded PIO/P, indicate source of financing, e.g., contract, loan, etc.

5 - Allotment: Enter the allotment number to be charged unless the PIO/P is a non-funded document.

6. Project Assistance Completion Date: Insert the month, day, and year of the project's completion. See Handbook 3, Chapter 10.

7 - Desired Start Date: Enter the month and year Mission wishes training to commence, bearing in mind seasonal aspects of certain training programs, lead times, language refresher training and other elements affecting programming.

8 - Terminal Start Date: This block establishes the latest month and year a participant may begin training, which has been determined to be nine months following the issuance of the PIO/P by the Mission. If the participant does not begin training by the end of the month specified, the PIO/P should be cancelled at once. Under exceptional circumstances, the Mission may request SER/IT to authorize an extension of this date.

9 - Number of Participants: Enter the total number of participants covered by this PIO/P. Do NOT include Alternates in this figure.

Block 10 - Original or Amendment: Check "Original" if the document is the first issue for the current operational year and specific training action. If a succeeding issuance, enter the number of the amendment to the original document.

11 - Location & Duration of Training: Enter the total person months of training to take place in the U.S., third country(ies), or in-country or combinations thereof.

12 - A.I.D. Financing: Leave blank if this is a non-funded document (e.g., contract, independently-financed, etc); otherwise, complete as follows:

Column (a) - Previous Total: (Use only for amendments.) Insert the total of previous amounts obligated by the Mission or AID/W for each Authorized Agent as appropriate.

Column (b) - Increase: (Use only for amendments) Insert amounts of increase(s) for each Authorized Agent as appropriate.

Column (c) - Decrease: (Use only for amendments) Insert amounts of decrease(s) as appropriate.

Column (d) - New Total: If document is original issuance, enter total amount obligated. If document is an amendment, insert the sum of the appropriate columns.

Line (a): Insert total cost of the training project to be financed from funds allotted to the Mission or AID/W.

Line (b): Enter the cost of international travel, if any, financed by the Mission from U.S. dollar funds. Next to "Maint. Adv.", enter the amount of advance (\$525 for participant training in the U.S., Puerto Rico, or Canada; \$100 for participants training in third countries).

Line (c): Enter estimated amounts (exclusive of international travel) for that portion of training to be obtained in the United States and/or

Puerto Rico (see Part 12A2 of this Chapter]. NOTE: When training costs are to be incurred by AID for U.S. and third country training, appropriate insertion is to be made on line (c) or (e).

Line (d): Leave blank. For use by AID/W in transferring funds to a Participating Agency for programming action.

Line (e and (f): If training is to take place in more than one third country, enter the countries of training and the amount(s) obligated.

Block 13 - Cooperating Country Financing: All direct, identifiable costs borne by the cooperating country other than those paid from U.S. Trust Accounts are to be shown here. If counterpart funds or U.S.-owned local currencies are involved, they are to be identified separately. Enter amounts in dollar equivalents and, when indicated, show the dollar/local currency conversion rate used.

14 - U.S. Trust Account: This block is to be completed when a U.S. Trust Account is used to effect payment for any part of the training costs that are financed by the cooperating country. Enter (A) the Trust Account Number; (B) the corresponding Allotment number; (C) the organization authorized to make payments against the Account; (D) the currency unit; and (E) the amount in the Account (in units of foreign currency). Usually the Authorized Agent will be the Mission requesting the training; it may also be AID/W. Items payable from trust funds may include international and domestic travel, monthly maintenance or per diem, payments to training facilities.

15 - Special Provisions

15a. PIL Number: Insert the relevant PIL Number, if applicable, to which the PIO/P relates and check whether Loan or Grant.

15b. Name(s) of Participant(s): List the names of participants covered

by this PIO/P. Include and specify alternates. The names must agree in spelling and format with the names given on Page 3, Biographic Data Sheet. The number of participants, exclusive of alternates, must agree with that in Block 9.

- 15c. Supplementary Information: The purpose of this block is to provide space for the Mission to justify specific actions, such as authorizing interpreter and/or escort services; for issuing a PIO/P without names and certification that names will be forthcoming no later than 6 months from date of issuance; a statement indicating the commitment of the cooperating country to assure proper utilization of participants upon their return home - if such a statement is not provided for in the Project Agreement. Also, the following statements in case of independently financed programs:
1. Funds for all program costs, including complete round-trip, international travel, and domestic travel are available.
 2. If, for any reason, the participant is unable to meet any of his financial obligations, incurred legally or illegally, the government of the cooperating country through its Embassy in the U.S. will assume complete responsibility for reimbursement.

Block 16a & 16b. - Mission Clearances: Mission or AID/W clearances are to be entered in this space.

17. Host Country/Borrower/Grantee: An appropriate cooperating country signature is to appear in this block unless there is a separate letter of request for the training from an authorized official of the cooperating country on file in the Mission.
18. Agency for International Development: For AID/W certification.

Block 1 thru 3 - Cooperating Country, PIO/P Number, Original or Amendment

Document: Self-explanatory.

Block 4 - Date: Insert date this document.

5 - Training Request:

A. Description of Training Requested: The type and level of training desired is to be clearly described in order to provide the country of training with sufficient information to plan and arrange a program that will provide maximum benefit to the participant and cooperating country.

B. Academic Training Only: Self-explanatory..

C. Related Information: Add here information that might be helpful to the program planner, e.g., problems or deficiencies existing in the cooperating country which training could alleviate.

D. Particular Emphasis Desired: Explain here any special aspect of the program that should be emphasized over other phases.

E. Suggested Training Facilities (if known): Self-explanatory.

6 - Participant's Future Employment:

A. Check appropriate box.

B. Occupational Category Code: Enter the appropriate two digit code from Handbook 10, Chapter 13. This code describes the occupation for which the participant is being trained.

Block 1 & 2 - Cooperating Country/PIO/P Number: Self-explanatory.

Block 3 - Name: Indicate whether Mr., Mrs., or Miss. Print the entire name, underlining or capitalizing the surname by which the participant wishes to be called. If there are alternate ways of spelling the name, enclose the second spelling in parentheses following the preferred spelling. Example:

a. (Dr.) (Miss) RODRIGUEZ Garcia, Maria Antonia

b. (Mr.) SOETARMO (SUTARMO), Abdul Ahmad

- 4 - Home or Mailing Address: Insert the complete home or mailing address in home country. Common abbreviations may be used.
- 5 - Attachments: Indicate which, if any, attachments are included with this form.
- 6 - Birthdate: Self-explanatory.
- 7 - Birthplace: Insert city, province, and country of birth.
- 8 - Emergency Contact (Country of Training): Enter name, relationship, address and telephone number of the person in the country of training to be contacted in case of emergency.
- 9 - Sex/Marital Status: Self-explanatory.
- 10 - Language Proficiency:
 - A. Indicate status by checking appropriate block.
 - B. If retest is necessary, indicate approximate date scores will be available.
 - C. Indicate type of test by checking appropriate box. If Test of English as a Foreign Language (TOEFL), enter score. If American Language Institute, Georgetown University (ALIGU), enter date test given, scores, and forms used.
 - D. Enter other language proficiency(ies) and rating(s) (Excellent,

Good, Fair).

E. Enter approximate length of training time necessary in home country or in receiving country.

Block 11 - Travel: List all travel outside of home country. If training or education was the purpose of the travel, name the program and sponsor.

12 - Education:

A. Enter total years of education.

B. Indicate, by checking appropriate block, the highest degree received.

C. Indicate country where last degree was obtained.

D. Insert Country Code for "C" above.

E. List all schools attended, the major field of study, language of instruction, dates attended, certificate or diploma received, and year received. If the A.I.D. training is to include study in a college or university, a certified record of attendance at these schools should be attached to this form by providing certified copies of record of courses completed, grades earned, and statement of award of degrees, certificates or diplomas. English translations should be provided for those certificates written in language(s) other than English.

13 - Present Employment:

A. Give title of present position.

B. Dates of employment - self explanatory.

C. Total years - enter total years of employment in present position.

D. Name and address of present employer.

E. Give total number of employees supervised by participant nominee.

F. Give appropriate number of employees in the organization.

G. Brief description of work - check appropriate box and write a brief, but specific, description of the type of work performed.

NOTE: If necessary to supply all requested information, use the Continuation Sheet for PIOs. Reference page and block number for continued items.

REFERENCE NO. SA

GUIDANCE FOR PREPARATION OF SCOPES
OF WORK FOR AID PIO/Ts

By James Murphy

INTRODUCTION

The most essential part of any contract is the statement of work or services to be performed. It is the statement of work which constitutes the essence of the agreement between the parties on what is to be done and fundamentally binds the contractor and the government in their respective obligations. While standard provisions or "boiler plate" clauses further define rights and responsibilities and elaborate on what happens in particular circumstances, it is the statement of work which spells out project objectives and the steps which will be taken to achieve them. It is recognized that any contract must be read in its entirety, but the statement of work stands out as being of prime importance and must be thoughtfully and carefully prepared by project technical personnel and scrutinized by contracting personnel.

JOINT RESPONSIBILITY OF AGENCY PERSONNEL

It is the joint responsibility of project technical officers, program and backstop officers and contracting personnel to develop a "contractible" statement of work which will ensure that AID's requirements are fulfilled. All parties should be working toward the objective of defining the required work or services in a manner that is mutually understood and that can be understood by contractors and third parties who may subsequently evaluate results or be asked to intervene in the event of a dispute. The statement should leave no question as to the intent of the parties.

There is a tendency to try to save time in defining the statement of work for the PIO/T, with the idea that everything can be straightened out during negotiations or once there is a contract. However, time spent drafting a good PIO/T scope of work is more than compensated for in time saved in the later stages of contract negotiation and contract administration. This is particularly true in the case of statements of work included in PIO/Ts submitted to AID/W by field activities. In these instances, the channels of communications are long and drawn out and questions regarding inadequate statements of work are difficult and time-consuming to resolve. Not only is administrative time lost while attempting to clarify what is intended, but in many cases program implementation is delayed as a consequence. Therefore, the drafter's objective should be to write PIO/T scopes of work that are sufficiently explicit and comprehensive to be included in the contract without revision.

STYLE

In developing statements of work, the drafter's language should be clear and concise so that it can be understood by all parties. Words which have multiple meanings, are too generic, or are so parochial that only a very limited audience will understand them, should be avoided. Direct, mandatory language (e.g.; shall, must, has to) should be used in preference to indirect nonmandatory language (e.g.; should, ought, is expected to). The drafters should put themselves in the position of contractors and read the statements of work in the context of "what does it say I have to do." If what is stated in mandatory language is less than what the project dictates, then the statement must be re-drafted until the two conform. It is only what we require contractors to do that we can legitimately expect to receive. We should not rely on professional ethics to get the Agency more than it specifically asks for.

FORMAT

The goal of the drafter should be to arrange the statement in a logical and readable manner that accentuates the most important elements and conveys to the contractor exactly what must be done to reach the objectives of the project. There are several accepted techniques for logically arranging a statement of work. The one most prevalent in AID is to first state the contract objective and then enumerate the specific work or services the contractor must perform to achieve that objective. It is suggested that this practice be followed except in unusual circumstances. In describing the specific work or services to be performed by the contractor the text should be arranged methodically (e.g., chronologically, by priority, or by function). The simplest, and generally most readable, method for lengthy work statements is to arrange tasks chronologically. Having first stated the objective, this leads the reader in logical sequence through the steps which will be taken to reach that objective. Another method is to state the tasks in order of importance - this method is particularly suited for "level of effort" type contracts which will be discussed later. Still a third method is to list the major tasks by functional area treating the ancillary tasks under each function heading -- this is particularly suited for large contracts covering a multitude of diverse tasks which the contractor is ultimately responsible for coordinating and synthesizing. Whichever method is used, the goal of the drafter should be to arrange the statement in a logical and readable manner that accentuates the most important elements and conveys to the contractor exactly what must be done to reach the objectives of the project.

LEVEL OF EFFORT VS. COMPLETION TYPE CONTRACTS

It was earlier stated that listing tasks in order of importance is particularly suited to level of effort type contracts. A distinction has

to be made between level of effort type cost contracts and completion type cost contracts.

In a completion type contract the contractor is responsible for accomplishing a clearly defined task or an output (in some instances this may be a final report of research or investigatory results). For accomplishing the task the contractor is reimbursed for costs incurred and sometimes receives a fixed fee, if appropriate. (Fees are generally not applicable in dealing with nonprofit organizations.) The contractor makes every effort to accomplish the task within the estimated cost initially negotiated; however, if the contract cannot be completed within the estimated cost, AID can elect to increase the estimated cost, extend the contract, and require additional work to obtain the original results with no increase in fee, or let the contract expire.

In a level of effort type contract, the statement of work is stated in general terms, usually in terms of the objective or target to be accomplished, and the contractor agrees to provide specified inputs, usually in work months of identified effort, for a stated period of time in pursuit of that objective or target. If the contractor expends the level of effort called for in that period of time in a satisfactory manner, then he is reimbursed costs and receives the fixed fee, if any, negotiated in advance (it is not necessary for the contractor to ever attain the objectives or target). Any subsequent requests by AID for additional effort require the negotiation of new cost and fee arrangements.

The completion type contract is preferable when the work itself or specific output segments can be defined with sufficient precision to permit the development of estimates within which prospective contractors can reasonably be expected to complete the work. However, in research and development and other projects where the end product itself cannot be defined with precision but the objective can, a level of effort type contract may be preferable in that it provides more flexibility for conduct of the contractor's effort. Whichever type contract is ultimately decided on, the work statement should be specific and detailed as to what we want the contractor to do, and when we want it done.

In some cases this may require that the work be divided into discreet phases of accomplishment, each of which must be completed and approved before the contractor may proceed to the next. For example, a single contract could be divided into stages of situation assessment, test, evaluation and performance. The advantage of this approach is that it establishes specified points that permit periodic evaluation of the contractor's progress and permits correction of false starts. Unfortunately it is not practical in every situation, as when a multitude of tasks must be performed simultaneously and the results are interdependent.

If the drafter decides that what is needed is essentially research or other effort directed toward an ultimate goal (e.g., project identification, advice and assistance to a host country institution), then the services should be defined in terms of the contractor inputs desired toward accomplishment of that goal. For example the goal may be to develop a type of corn which will produce high yield in an arid climate with a short growing season. Obviously this goal has to be further defined to indicate where the corn is going to be grown, what trade offs are acceptable - i.e., must it have a certain nutritional content, be able to withstand certain diseases, be capable of limited storage, etc. However, what is of equal importance in this type of statement of work is to specify what inputs the contractor is required to use toward accomplishment of the goal. Should the contractor limit research to known hybrids, should he employ six researchers or ten, should the researchers be Ph.D.s - if so, should they have a particular research background, should six varieties of corn be tested or should new strains be developed, should yields be planted at random or should different planting techniques and sites be utilized. The more able we are at defining the constraints and contractor inputs, the better we are able to direct the research toward the specific goal we have in mind. If, as sometimes happens, we don't want to direct the avenues of research but want to give the contractor latitude toward accomplishment of the goal, then it is essential that definition of the goal be given added emphasis so that the contractor knows exactly where he should be headed.

In drafting either of the types of contract statements of work described above, the drafter should provide the contractor adequate background information regarding why the services are needed and describing what, if anything, has been tried before. In addition, the drafter must indicate how the contractor should coordinate with the Agency and what the respective roles and obligations are of the two contractual parties. Who will provide commodities, logistic support, travel approvals; what financial and progress reports are needed; what is the extent of subcontracting permitted; will the contractor work under the technical direction of the project manager: all of these questions should be answered so that there is no misunderstanding.

SUMMARY

The statement or scope of work is one of the most important elements of the contract and requires the particular attention of everyone involved in the contracting process to eliminate delays and misunderstanding before and after contract award. PIO/Ts should be drafted bearing in mind the above criteria and the instructions provided with the PIO/T form. As a last check for substance and clarity, PIO/T drafters should place themselves in the position of contractors and other third parties and re-read the statement of work to see if it conveys the requirements and expected results to an uninformed reader. A renewed emphasis in preparing better statements of work by all involved will ultimately result in better project accomplishment for the Agency.

AID 1350-1X
(8-77)

DEPARTMENT OF STATE
AGENCY FOR
INTERNATIONAL DEVELOPMENT

PIO/T

PROJECT IMPLEMENTATION
ORDER/TECHNICAL
SERVICES

1. Cooperating Country

Page 1 of Pages

2. PIO/T No.

3. Original or
Amendment No. _____

4. Project/Activity No. and Title

DISTRIBUTION

5. Appropriation Symbol

6. ALLOTMENT SYMBOL AND CHARGE

7. Obligation Status

Administrative Reservation Implementing Document

8. Project Assistance Completion Date
(Mo., Day, Yr.)

9. AUTHORIZED AGENT

10. THIS PIO/T IS IN FULL CONFORMANCE WITH
PRO/AG _____ DATE _____

11A. TYPE OF ACTION AND GOVERNING AID HANDBOOK

AID CONTRACT (HS 14) PASA/RUSA (HS 12) AID GRANT (HS 13) OTHER

11B. CONTRACT/GRANT/PASA/
RUSA REFERENCE NUMBER (If
THIS IS AN AMENDMENT)

12. ESTIMATED FINANCING (A DETAILED BUDGET IN SUPPORT OF
COLUMN (2) IS ATTACHED AS ATTACHMENT NO. _____)

		(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
Maximum AID Financing	A. Dollars				
	B. U.S.-Owned Local Currency				

13. Mission
References

14A. Instructions to Authorized Agent

14B. ADDRESS OF VOUCHER PAYING OFFICE

15. Clearances - INCLUDE TYPED NAME, TELEPHONE NUMBER AND OFFICE SYMBOL IMMEDIATELY
BELOW SIGNATURE AND DATE FOR ALL CLEARANCES

A. THE PROJECT OFFICER CERTIFIES THAT
THE SPECIFICATIONS IN THE STATEMENT
OF WORK ARE TECHNICALLY ADEQUATE

PHONE NO.

DATE

B. THE STATEMENT OF WORK LIES WITHIN DATE
THE PURVIEW OF THE INITIATING AND
APPROVED AGENCY PROGRAMS

C.

DATE

D. FUNDS FOR THE SERVICES REQUESTED ARE AVAILABLE

E.

DATE

16. For the cooperating country: The terms and conditions
set forth herein are hereby agreed to

17. For the Agency for International Development

Signature

DATE

Signature

DATE

Title

Title

31101

1350-1x)	Cooperating Country	PID T No.	Page 3 of	Pages
10-T	Project Activity No. and Title			

Relationship of Contractor or Participating Agency to Cooperating Country and to AID

Relationships and Responsibilities

Cooperating Country Liaison Official

AID Liaison Officials

LOGISTIC SUPPORT

Provisions for Logistic Support b. Specific Items (insert "X" in applicable column at right. If entry needs qualification, insert asterisk and explain below in C. "Comments")	IN KIND SUPPLIED BY		FROM LOCAL CURRENCY SUPPLIED BY		TO BE PROVIDED OR ARRANGED BY SUPPLIER
	AID	COOPERATING COUNTRY	AID	COOPERATING COUNTRY	
(1) Office Space					
(2) Office Equipment					
(3) Housing and Utilities					
(4) Furniture					
(5) Household Equipment (Stoves, Refrig., etc.)					
(6) Transportation in Cooperating Country					
(7) Transportation To and From Country					
(8) Interpreter Services/Secretarial					
(9) Medical Facilities					
(10) Vehicles (official)					
(11) Travel Arrangements/Tickets					
(12)					
(13)					
(14)					
(15)					

B. Additional Facilities Available From Other Sources

- APO/FPO
 PX
 COMMISSARY
 OTHER (specify, e.g., duty free entry, tax exemption)

FORMAT

PIO/T No. _____

B U D G E T

The technical services required by this PIO/T are expected to begin on _____ and end on _____
 (date) (date)

<u>CATEGORY</u>	<u>DESCRIPTION</u>	<u>ESTIMATED COST</u>
<u>Salaries</u>	(Job title or speciality (work-months of required for project) assignment)*	\$
<u> fringe Benefits:</u>	(payroll cost)	\$
<u> Consultants:</u>	(Speciality required (work-months of for the project) assignments)*	\$
<u>Transportation and Travel:</u>		\$
<u> Allowances:</u>		\$
<u>Equipment, Vehicles, Materials and Supplies:</u>		\$
<u>Participant Training:</u>		\$
<u>Subcontracts:</u>		\$
<u>Other Direct Costs:</u>		\$
<u>Overhead:</u>		\$
<u>Fixed Fee or Profit:</u>		\$
<u>RAND TOTAL</u>		\$

one work-month equals 21.7 days

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PREPARATION OF THE PIO/T, FORM AID 1350-1

NOTE: Discretion must be exercised in the handling of completed PIO/T's. Estimated financing data (including detailed budget) shall not under any circumstances, be given to prospective contractors and grantees.

Instructions for completing the PIO/T form AID 1350-1, and using the Continuation Sheet, form AID 1300-1, are as follows:

A. Page Number 1 (face sheet) - Blocks 1 through 17:

Block 1 - Cooperating Country. Insert the name of the country, region or interregional program benefiting from the assistance.

Block 2 - PIO/T Number. Insert the complete PIO/T number (reference Handbook 18).

Block 3 - Original or Amendment Number. Check the box if this is an original PIO/T or, if an amendment to a previously issued PIO/T, insert the number of the amendment. Amendments are numbered consecutively against each original PIO/T.

Block 4 - Project/Activity Number and Title. Insert the complete number and title of the project as entered on the face sheet of the Project Agreement or other obligating document; add subtitle, if any. For a technical support activity, insert the number and title that was used in the Activity Description and authorizing documentation (reference Handbook 18). For projects financed by loan funds, insert the Loan Number and Disbursement Authorization Number in this block.

Block 5 - Appropriation Symbol. Cite the current Appropriation Symbol used for the related Project Agreement, Activity Description or Allotment Advice issued for interregional programs for the AID funds which are to be charged for the amounts shown in Block 12A(4). If the PIO/T is to be financed from more than one appropriation and allotment, insert the word "multiple" in this block and indicate in Block 14A whether: (i) one specified allotment will be charged for all costs until the funds are exhausted and then another specified allotment will be charged, or (ii) each bill will be charged to each of the allotments on a specified percentage or other basis, or (iii) all commodities will be charged to one specified allotment and all other costs to a different specified allotment, etc. In cases of multiple funding, a complete listing of the number of each appropriation/allotment, indicating the amount applicable to each, shall be included in Block 14A.

Block 6 - Allotment Symbol and Charge. Insert the allotment symbol used on the related Project Agreement or Activity Description or other obligating document. When more than one allotment is utilized, insert the word "multiple", and follow the procedure outlined in Block 5 above.

Block 7 - Obligation Status. Mark "Administrative Reservation" if the services are not funded by a Project Agreement or other obligating document indicating that funds will require revalidation before implementing document is fully executed. Mark the box indicating "Implementing Document" if the services are funded by a Project Agreement or other obligating document.

competitive procurements, list suggested sources (i.e., commercial firms, or educational institutions), include the Evaluation Criteria to re-evaluating proposals and mark Block 21B). For noncompetitive bids, note here and attach Justification for Noncompetitive Procurement Block 21C.

14B - Address of Voucher Paying Office. Insert the paying office to be responsible for paying vouchers submitted against this PIO/T.

15 - Clearances. The initiating officer (e.g., Project Officer) signs and dates in Block 15A. The project management officer in the Bureau, or office signs Block 15B. If appropriate, Block 15C is signed by the individual responsible for coordinating the logistic support. The mission or AID/W funds control officer signs in Block 15D. Other appropriate signatures may be shown in Block 15E (i.e., the mission, desk, contracting

16 - Signature Block for the Cooperating Country. On each mission issued PIO/T under which the cooperating country supplies monetary, or in-kind support which is not specified in a Project Agreement in the permanent records of the Mission, obtain the signature of the authorized representative of the cooperating country or borrower/grantee. The counter-signature must be retained in the permanent records of the mission.

17 - For the Agency for International Development. For a mission issued by AID, obtain the signature of the Mission Director, or his designee, as required by a written delegation of authority. For an AID/W issued PIO/T, obtain the signature of the Assistant Administrator, or his designee, pursuant to a delegation of authority. The signature of the Mission Director or Assistant Administrator, or their designee, indicates that all necessary approvals have been obtained and the PIO/T has been approved and issued on the indicated date.

Number 2 - Blocks 18 through 21:

18 - Scope of Technical Services. Insert the number of the attachment which describes the clear, adequately detailed, concise description of the required services (see format for Scope of Technical Services provided herein).

/PASA/

19A - Language Requirements. (1) Indicate the language(s) and the proficiency levels (speaking and reading -- "S" and "R") required of the technician in order to perform effectively using the policy and definitions in AID Handbook 28. For example, if French is the language required for speaking and reading levels, "French S-2, R-2" shall be indicated. If language proficiency is not essential, enter "none required". If a language requirement is shown on a PIO/T, the technician's proficiency shall be determined through the Office of Personnel and Manpower, Professional Studies and Employment Division (PM/PS&CB) AID/W, to determine whether or not he/she meets the requirement. If the language requirement is not met, language training shall be authorized by the Contracting Officer, with the concurrence of the appropriate Bureau(s) and scheduled by PM/PS&CB. Funds should be provided for training, if required.

9B - Access to Classified Information. Indicate which contractor, RSSA employees, if any, will require access to restricted premises or material. If such access is necessary, state the level of security that will be required.

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be on the whitefly transmitted viruses of Rhynchosia minima and Phaseolus lunatus. These bean viruses are believed to be the incitants of two of the most important mosaic diseases of beans in tropical America.

3. Conduct studies to identify and characterize the causal agents of three seemingly new mosaic diseases of beans. Two of the causal viruses are whitefly-transmitted while the other seems to be of the nonpersistent type. The whitefly-transmitted ones seem to be well distributed under Puerto Rican conditions and perhaps very important in other areas of tropical America.

4. Conduct greenhouse evaluations and assist cooperators in field screening of hybrids and selected varieties and lines of beans and cowpeas developed in Puerto Rico as well as introductions from abroad for resistance to insect-transmitted viruses. In the case of beans, special attention will be given to Rhynchosia and P. lunatus viruses.

B. Other Studies

1. Assist the fungi-bacterial investigation staff in screening tests in the laboratory, greenhouse and field for effective chemical control of major fungus and bacterial diseases of these two food legume crops.

2. Conduct survey to determine which are the most important nematodes associated with beans and cowpeas and investigate sources of resistance. Nematodes found in constant association with these crops will be isolated, cultured and their pathogenicity determined. Greenhouse and field tests will be conducted to determine relative effectiveness of several nematicides.

3. Assist cooperators in laboratory, greenhouse and field tests to be carried out on these crops in an attempt to obtain resistance to insect pests as well as to develop effective chemical control.

EXAMPLES OF STATEMENT OF WORK FOR TYPES OF CONTRACTS

I. "LEVEL OF EFFORT CONTRACTS"

ARTICLE I -- OBJECTIVE

The major objective of this contract is to investigate and develop methods of control of limiting diseases and insects of selected food legumes adapted to the tropics, particularly beans and cowpeas. This is part of a joint effort which the USDA is leading. The USDA will be working simultaneously toward this objective, but it will be concentrating primarily on fungal and bacterial diseases and related breeding and personnel training efforts. The primary joint focus will be on improvement of production through disease (viruses, bacteria, fungi, nematodes, and mycoplasmas) and insect control. The University of Puerto Rico will provide complementary input in application of biology, nutrition, genetics, and other sciences to the tropical environment.

ARTICLE II -- STATEMENT OF WORK

The University agrees to make available and employ its development facilities and personnel to perform the following research activities with beans and cowpeas:

A. Virus Studies

1. Conduct survey of virus diseases of legumes with particular emphasis on agents that affect beans and cowpeas utilizing personal observations as well as contacts established with investigators in other countries.
2. Properly characterize on the basis of transmissibility (artificial, seed and insects), serology, differentials, host range, vector virus relations and cross protection. In the case of beans, special emphasis will

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The University shall submit copies of progress reports and related technical information to cooperating institutions and plant breeders as requested by cooperators or by AID/W.

One copy of all reports shall be forwarded by the University to the Contracting Officer and to the Bureau for Technical Assistance, Office of Agriculture, A.I.D.

ARTICLE IV -- LEVEL OF EFFORT

A. The level of effort for the performance of this contract shall be 129.5 total man-months. The estimated composition of the total man-months is as follows:

<u>Key Personnel</u>	<u>No. of Man-Months</u>	<u>Percent of Time</u>	<u>Salary</u>
Phytovirologist (Project Leader)	10.5	75	\$15,000
Phytovirologist	7	50	8,000
Associate Biologist	14	100	10,000
Entomologist	7	50	8,000
Plant Pathologist-Nematologist	7	50	8,000
Research Assistant	14	100	8,000
Subtotal	<u>59.5</u>		
 <u>Other Personnel</u>			
Laboratory Assistant	14	100	6,000
Laboratory Assistant	14	100	6,000
Stenographer	14	100	6,000
Labor	28		<u>8,000</u>
Subtotal	<u>70</u>		
Total	129.5		\$83,000

B. It is understood and agreed that the number of man-months may fluctuate in pursuit of the technical objective provided such fluctuation does not result in the utilization of the total man-months of effort prior to the expiration of term hereof, and it is further understood and agreed that the

number of man-months of effort for any classification except for the man-months of Key Personnel may be utilized by the University in any other direct labor classification if necessary in the performance of this work.

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IT. "COMPLETION CONTRACTS"

ARTICLE I -- OBJECTIVE

For a period hereinafter set forth in the Schedule, the Contractor shall review and evaluate the results of Organizational Development (OD) programs undertaken by A/PM/ME within A.I.D., and primarily in the AID/Washington offices of Administrative Services (A/AS) and Data Processing (A/DS) and at the USAID Mission in Panama.

ARTICLE II -- STATEMENT OF WORK

In attaining the objectives of this contract, the Contractor shall:

A. Provide evaluation services in a survey of A.I.D.'s OD program, appraise the effectiveness of existing A.I.D. OD programs and the management changes resulting from the programs, and make recommendations as to the future potential of OD within A.I.D. or future foreign assistance organizations. The survey shall include, but not be limited to the following:

1. A review and evaluation of the effectiveness of A.I.D. OD programs that have been in operation on a planned basis for one (1) year or longer, particularly in A/AS, A/DS and USAID/Panama.

2. An analysis of (1) procedures and techniques employed; (2) the adequacy of resources allocated; (3) the goals established and results obtained. This analysis shall include, but not be limited to identification and measurement, where possible, of performance indicators suitable for appraising the immediate and long-term consequences of the OD program, and shall involve measurements of the following:

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ARTICLE IV -- REPORTS

Upon completion of the effort described in Article II - Statement of Work, and not later than March 5, 1972, the Contractor shall submit a final report in five (5) copies, as follows:

- a. Three (3) copies to:
Mr. William B. Berg
Chief, Training Branch
PM/MD/T, Room 413 PP
Agency for International Development
Department of State
Washington, D.C. 20523
- b. Two (2) copies to:
A.I.D. Reference Center
PPC/PTIS/ARC
Agency for International Development
Washington, D.C. 20523

The final report shall be in narrative form and shall reflect the Contractor's efforts, findings, observations and recommendations accomplished as a result of performance under this contract. The report shall include specifically recommendations for (a) possible revisions and improvements in the A/PM/MD approach to the programming of Organizational Development; (b) improvement in self-evaluation of results; and (c) potential of OD for use as a management system in A.I.D. or successor organizations.

ARTICLE VI -- TECHNICAL DIRECTIONS

Performance of the work hereunder shall be subject to the technical directions of the cognizant Project Manager, AID/PM/MD/T. As used herein, "Technical Directions" are directions to the Contractor which fill in details, suggest possible lines of inquiry, give guidance, coordinate facility use, or otherwise complete the general scope of work. "Technical Directions" must be within the terms of this contract and shall not change or modify them in any way.

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services such as "technical liaison" are to be furnished, do not just say "as required." Provide a ceiling on the amount, or work out a procedure that will assure reasonableness and Government control, such as "will be furnished by the associate contractor when requested in writing by the prime and countersigned by a designated representative of the contracting officer."

5. Do Not Use "Catch-Alls." A "Catch-all" paragraph is sometimes intentionally included. The intent is to pretend that anything else the Government may think of later was already included in the work statement. This is tempting, because it makes changes unnecessary. All you have to do is reinterpret the existing words. But it is a trap for two reasons: first, it forces the contractor to pad his estimate and, second, it gives the contractor a chance to out maneuver you and to include (and get paid for) things you do not want. Changes do require effort, but it is worth it. In the long run, being as specific as possible is both the easiest and the most economical way.

6. Do Not Infer, Or "Back Into" A Requirement. "Shut the door as you go out" may be considered more polite than a direct request to leave; however, indirection is singularly inappropriate in work statements. Do not say, "you must have firemen standing by when you static fire the qualification," and thereby inform the contractor that he has to static fire some motor. This admonition may sound unnecessary, but it is surprising how many times a person who is well versed in a subject will assume that his reader understands the main objectives, and hence "back into" a requirement while explaining details.

7. Do Not "Sole Source" Your Work Statement. The work statement specifies a requirement of the Government and is supposedly impartial concerning who can do it. In keeping with this philosophy, the work statement itself should contain no reference to sources. Say "The contractor will" not "The XYZ Company will."

8. Include Procedures. Some unknown quantities will always exist. The easy out is to use "when required" or "as necessary," "maximum possible use of existing," "where feasible," and similar meaningless words. This practice speeds up the writing, but catches up with you, first when you try to estimate the job and again during performance of the contract. Very often you can get an immediate decision, if you try, on number (such as number of specimens to be tested) or date due, instead of writing, "as required." If immediate decisions cannot be made, it is usually possible to include a procedure by which the decision will be

made. This does not have to be complicated. It can be merely a statement such as "as approved by the contracting officer" or "at the contractor's discretion" or "the contractor shall submit this report each time a category 'B' failure occurs."

9. Do Not Overspecify. The ideal situation is to specify results required and let the winning contractor find the best method of getting there. In any case, you cannot tell him exactly how to do it and then make him responsible for the results.

10. Eliminate Extraneous Material. The following two questions can be used to judge whether material should be in a work statement:

- (a) Does it tell what the contractor is to do?
- (b) Is it necessary in order to determine what the contractor is to do?

Material that does not pass this test should generally be left out of the work statement.

UNCLASSIFIED
Department of State

OUTGOING
TELEGRAM
III.2.c

PAGE 01 STATE 024737
ORIGIN AID-35

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STATE 024737

INFO OCT-88 /B35 R

DRAFTED BY AID/NE/PD/PDS D H MANDEL:GJG
APPROVED BY AID/AA/NE: A D WHITE (ACTING)
NE/PD: R H BELL (DRAFT)
NE/PD: S A TAUBENBLATT (DRAFT)
NE/TECH: C WEINBERG

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TO AMEMBASSY AMMAN PRIORITY

AMEMBASSY BEIRUT PRIORITY

AMEMBASSY CAIRO PRIORITY

AMEMBASSY DAMASCUS PRIORITY

AMEMBASSY LISBON PRIORITY

AMEMBASSY NICOSIA PRIORITY

AMEMBASSY RABAT PRIORITY

AMEMBASSY SANA PRIORITY

AMEMBASSY TUNIS PRIORITY

UNCLAS STATE 024737

AIDAC, FROM AA/NE WHITE (ACTING)

E.O. 12065: N/A

TAGS:

SUBJECT: CLEARANCE OF SCOPES OF WORK FOR FEASIBILITY
STUDIES

1. THE MOST CRITICAL PART OF THE PROCESS OF EMPLOYING OUTSIDE HELP IN THE PROJECT DESIGN PROCESS, WHETHER THROUGH A PSC, IQC, REQUIREMENTS CONTRACT OR HOST COUNTRY CONTRACT, IS THE SCOPE OF WORK FOR FEASIBILITY STUDIES. BECAUSE OF EXISTING DELEGATIONS OF AUTHORITY WE ARE SEEING SUCH SCOPES OF WORK ONLY IN FINAL FORM IN REPS AND PIO/TS. WE HAVE NOTICED TOO FREQUENTLY WEAKNESSES IN THESE SCOPES WHICH HAVE CAUSED PROBLEMS IN OBTAINING A DECENT PRODUCT FROM THE CONTRACTOR AND DELAYED PREPARATION AND APPROVAL OF PPS. IN PARTICULAR WE ARE CONCERNED ABOUT THE ENVIRONMENTAL ASPECTS AND THE SOCIAL SOUNDNESS ASPECTS BECAUSE THESE ARE TWO AREAS IN WHICH MISSIONS DO NOT USUALLY HAVE ADEQUATE TECHNICAL STAFF. NEW PROJECT AREAS SUCH AS RENEWABLE ENERGY MAY ALSO REQUIRE THAT USAID PREPARED SCOPES OF WORK BE SUPPLEMENTED BY AID/M TECHNICAL STAFF.

2. WE WOULD LIKE TO WORK OUT A COOPERATIVE PROCEDURE WHICH WILL PERMIT BUREAU PARTICIPATION IN SCOPE OF WORK PREPARATION FOR CONTRACTORS AND CONSULTANTS WITHOUT CAUSING DELAY IN THE PROJECT DESIGN PROCESS. WE BELIEVE THIS CAN BE DONE BY HAVING THE MISSION PROJECT MANAGER TRANSMIT DRAFT SCOPES BY MEMO OR CABLE AS THEY EVOLVE FROM ROUGH DRAFT TO FINAL. THE TRANSMITTAL WOULD REFLECT THE DEGREE TO WHICH THE DRAFT SCOPE HAD BEEN REVIEWED WITHIN THE MISSION AND PROVIDE A PROJECTED TIME TABLE FOR SUBSEQUENT ACTIONS TO FINALIZE THE SCOPE. THIS WOULD PERMIT THE WASHINGTON PROJECT OFFICER TO RESPOND AS THE SITUATION DEMANDED WITHOUT DELAYING MISSION ACTION. IN SOME CASES THE BUREAU

MIGHT ASK A MISSION TO DELAY ACTION UNTIL WASHINGTON COULD REVIEW THE SCOPE AND PROVIDE GUIDANCE. IF TIME PERMITTED THE BUREAU PROJECT OFFICER WOULD CONVENE A PROJECT REVIEW COMMITTEE FOR A FORMAL REVIEW OF THE SCOPE. MORE LIKELY THE OFFICER WILL QUICKLY OBTAIN COMMENTS FROM KEY PEOPLE SUCH AS THE ENVIRONMENTAL COORDINATOR WHICH WILL THEN BE COMMUNICATED TO THE MISSION AND TAKEN INTO ACCOUNT AS THE SCOPE IS REVIEWED AND FINALIZED.

3. WE HOPE THE ABOVE ATTEMPT TO INCREASE WASHINGTON/ FIELD COLLABORATION WILL SUCCEED IN IMPROVING SCOPES OF WORK, AND ACCORDINGLY, INPUTS INTO THE PROJECT PAPER. EARLY INFORMAL REVIEW WILL BE SUFFICIENT TO AVOID TIME CONSUMING PROBLEMS WHICH HAVE OCCURRED IN THE PAST AS RESULT OF INCOMPLETE SCOPES OF WORK AND MAKE IT UNNECESSARY FOR A FULL FORMAL REVIEW BY WASHINGTON. VANCE

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UNCLASSIFIED

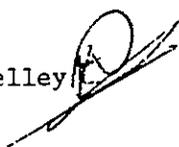
UNITED STATES GOVERNMENT

Memorandum

III.3.a

TO : SEE DISTRIBUTION

DATE: July 31, 1979

FROM : SER/CM, Hugh L. Dwelley 

SUBJECT: 2nd Edition: Uniform Procedures for Issuance of Work Orders Under
Agency-Wide Indefinite Quantity Contracts (IQCs)

This transmits the second edition of the uniform procedures for issuance of work orders under Agency-wide IQCs.

This supersedes the first edition distributed by my Memorandum of June 1, 1978. No substantial changes in the procedures for issuance of work orders have been made in the second edition. However, to hasten payment to contractors for work performed, we now ask requiring offices to identify, in the form memorandum to the contracting officer requesting issuance of a work order, the AID/W or Mission project manager who will administratively approve contractor voucher requests for payment.

To facilitate the advisory role of the coordinating technical offices in maintaining an institutional memory of IQC contractor field performance, a new procedure for processing contractor performance evaluation report forms completed by Mission project managers has been instituted. This is described in numbered paragraph 11 on page 4 of the procedures text.

Requiring offices are referred to the CM/SD/SUP issued Monthly IQC Usage Report (the most recent dated July 24, 1979) for a list of current IQC contracts and information pertinent to their utilization.

It should be noted that use of these agreements is only one of several ways to obtain required services. Direct hire employees should be used when they possess the requisite skills and are available. AID can enter into personal services contracts (PSCs) with individuals when the services are to be performed overseas as assistance to an AID recipient. *Often it may prove just as fast and much less expensive to use a PSC rather than an institutional contractor, especially if the requirement is short term.* Requiring offices should seek guidance from their cognizant contracting officer as to the most appropriate way to proceed in each particular case.

Your cooperation in following these procedures will greatly assist us in the timely servicing of your work order requirements. As always, suggestions for procedural improvements are welcome.

Attachment



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Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

2nd Edition
July 1979

UNIFORM PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

ISSUED BY

Office of Contract Management
Agency for International Development
Washington, D.C. 20523

Contents

Procedures:	Pages 1 thru 4
Attachments:	A - PIO/T Format for Work Order
	B - List of Coordinating Technical Offices
	C - Form Memorandum Requesting Issuance of Work Order
	D - Form Request for Contractor Proposal
	E - Form of Work Order
	F - Cable Format
	G - Form Memorandum for Transmitting Work Order

31301

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

1. The requiring office (which includes a Mission and any AID/W office acting on behalf of a Mission) shall prepare a PIO/T in the specified format (see Attachment A), which will be approved in accordance with the procedures of the parent bureau. AID/W requiring officers are encouraged to review draft PIO/Ts with the coordinating technical officers (see Attachment B), and with the contracting officer.

2. The requiring officer, consulting with the coordinating technical officer, when appropriate, will identify an IQC contractor for recommendation to the contracting officer. The requiring officer will, in making his or her recommendation to the contracting officer, seek to ensure that:

- all minimums are ordered on a timely basis;
- the maximum in any one contract is not exceeded;
- small business and minority IQC contractors receive a fair share of the work;
- to the extent practicable, the overall work assignments of the IQC contractors in each sector are roughly equal in value.

To assist the requiring officer, the coordinating technical officer will have available for review:

- the technical proposal submitted by each contractor in the competition leading to award of the IQC;
- the technical evaluation board's evaluation of each contractor's technical proposal;
- a brief description of the specialties of each contractor;
- copies of contractor final reports under prior work orders;
- copies of prior work orders;
- copies of applicable Contractor Performance Evaluation Report, AID Form 1420-43 (4-75); *
- an indication of the contractor's minority or small business status;
- copy of the latest CM/SD/SUP issued Monthly IQC Usage Report.

* See Para. 11 on Page 4 herein.

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

Requiring officers are encouraged to use all of these tools in the process of identifying a contractor to recommend to the contracting officer. Additionally, requiring officers and/or coordinating technical officers are encouraged to make informal contact with technical sector IQC contractors pertaining to staff availability before recommending a specific contractor to the contracting officer; however, *the requiring officer and/or the coordinating technical officer will not request a proposal from any of the contractors.* The recommended contractor should have direct and immediate access to the resources needed to provide the required services. Special justification will be required if more than half of the recommended contractor's level of effort is to be provided by individuals for whom the contractor did not submit biographical information in its proposal for the IQC.

In no case will an AID employee convey to a prospective contractor that the placement of an order with the contractor is conditioned upon the contractor's utilization of an individual or individuals who have not been initially located and identified by the contractor.

If the contractor intends to utilize on the work order (as employee or consultant) any individual who was not included among those for whom it submitted biographical information in its proposal for the IQC, the contractor must certify in its proposal for the work order that the individual was initially located and identified by the contractor.

3. The requiring officer will send a signed covering memorandum to the contracting officer (see Attachment C) which shall:

- recommend a specific contractor (and contract) for issuance of the work order;
- identify the PIO/T funding source (i.e., AID/W or Mission) project manager who will administratively approve contractor voucher requests for payment;
- contain a statement that to the best of the requiring officer's knowledge, "the required services are not a fragmentation of a known long-term requirement for the services of the recommended contractor;"
- contain a statement that to the best of the requiring officer's knowledge, "no AID direct hire employee or other individual resources such as experts and consultants or personal services contractors are available which can properly be used to perform the required services;"

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

- contain a statement that to the best of the requiring officer's knowledge, "no AID employee has suggested to the contractor that the placement of an order is conditioned upon the contractor's utilization of an individual or individuals not originally located and identified by the contractor;"
- indicate the number of days between the date of the memorandum and the date the requested services should start. (Two weeks should normally be allowed the contracting officer to issue the work order. The contractor may require additional time to mobilize and start work).

4. The requiring officer will forward the PIO/T and covering memorandum to CM/SD/SUP for logging. *They should be hand delivered if time is of the essence.* An information copy shall be sent to the coordinating technical officer.

5. The contracting officer will review the request to determine:

a. If the work is appropriate for issuance of a work order. Specifically, the contracting officer must be satisfied that the work is:

- short-term (generally not to exceed 90 to 120 calendar days);
- required on a quick response basis;
- not a fragmentation of a known requirement which could be contracted for on a long-term basis.

If the contracting officer is not satisfied that these conditions have been met, he will inform the requiring officer immediately by phone - to be confirmed in writing, if requested by the requiring officer - when the PIO/T is returned. The requiring officer may request reconsideration by the contracting officer.

b. If the recommended contractor is appropriate. Specifically, the contracting officer will confirm that:

- all minimums are ordered on a timely basis;
- the maximum in any one contract is not exceeded without justification;
- small business and minority IQC contractors receive a fair share of the work;

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

-- reasonable efforts were made by the requiring officer to locate an IQC contractor from among those in the sector who have received less than the average value of the work previously placed in the sector.

6. If the IQC mode and the recommended contractor and contract are accepted by the contracting officer, he or she will request a proposal from the contractor (see Attachment D). If time is of the essence, the contracting officer will arrange hand pick-up and delivery or telecopy transmission of the request for proposal.

7. Upon receipt of a proposal, the contracting officer will negotiate a work order and, after obtaining the written concurrence of the requiring officer, execute the work order (see Attachment E).

8. *The requiring officer is responsible for notifying missions of the proposed arrivals of all contractor personnel, and for giving written approval to the contractor for all international travel.*

9. The contracting officer will send a cable (see Attachment F) to the funding Mission confirming that the work order has been executed.

10. The contracting officer will forward copies of all work orders to all AID Missions in which work will be performed (see Attachment G), and to the coordinating technical officer.

11. Upon receipt of his or her copy of a work order, the coordinating technical officer will send a Contractor Performance Evaluation Report, AID Form 1420-43 (4-75), to the Mission project manager. This will be transmitted by a personal letter requesting that the evaluation report be completed and returned within one (1) week after final departure of the contractor's team. The letter will also encourage the project manager to make a candid and complete report on contractor performance in the field. These reports will enable the technical coordinating office to have first hand information available to assess a specific contractor's field performance capabilities in terms of future usage. *Mission project managers are requested to return their completed evaluation reports directly to the coordinating technical officers for distribution to the appropriate AID/W regional or other bureau offices, and to the contracting officer.*

12. When the period of a work order must be extended, or additional funding is required to complete the work, the requiring officer shall forward a PIO/T amendment to the contracting officer *together with a memorandum of justification which will include a statement of steps taken or to be taken to preclude a recurrence of the need for further amendment of the work order.*

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IOCs

1st Edition
June 1978

Attachment A

AID 1350-1X (6-77)	DEPARTMENT OF STATE AGENCY FOR INTERNATIONAL DEVELOPMENT	1. Cooperating Country	Page 1 of Pages		
PIO/T	PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES	2. PIO/T No.	3. <input type="checkbox"/> Original or Amendment No. _____		
		4. Project/Activity No. and Title			
DISTRIBUTION	5. Appropriation Symbol		6. ALLOTMENT SYMBOL AND CHANGE		
	7. Obligation Status		8. PROJECT COMPLETION DATE		
	<input type="checkbox"/> Administrative Reservation <input type="checkbox"/> Implementing Document				
	9. AUTHORIZED AGENT SER/CM		10. THIS PIO/T IS IN FULL CONFORMANCE WITH PRO/AG _____ DATE _____		
	11A. TYPE OF ACTION AND GOVERNING AID HANDBOOK		11B. CONTRACT/GRANT/PASA/ RSSA REFERENCE NUMBER (IF THIS IS AN AMENDMENT)		
	<input checked="" type="checkbox"/> AID CONTRACT (HB 14) <input type="checkbox"/> PASA/RSSA (HB 12) <input type="checkbox"/> AID GRANT (HB 13) <input type="checkbox"/> OTHER				
	12. ESTIMATED FINANCING (A DETAILED BUDGET IN SUPPORT OF COLUMN (2) IS ATTACHED AS ATTACHMENT NO. _____)				
	\$1.00= (1) Previous Total (2) Increase (3) Decrease (4) Total to Date				
	Maximum AID Financing	A. Dollars			
		B. U.S.-Owned Local Currency			
13. Mission References	14A. Instructions to Authorized Agent				
	Negotiate work order under Indefinite Quantity Contract for services described herein.				
14B. ADDRESS OF VOUCHER PAYING OFFICE					
15. Clearances - INCLUDE TYPED NAME, TELEPHONE NUMBER AND OFFICE SYMBOL IMMEDIATELY BELOW SIGNATURE AND DATE FOR ALL CLEARANCES					
A. THE PROJECT OFFICER CERTIFIES THAT THE SPECIFICATIONS IN THE STATEMENT OF WORK ARE TECHNICALLY ADEQUATE		PHONE NO. DATE	B. THE STATEMENT OF WORK LIES WITHIN DATE THE PURVIEW OF THE INITIATING AND APPROVED AGENCY PROGRAMS		
C.		DATE	D. FUNDS FOR THE SERVICES REQUESTED ARE AVAILABLE		
E.		DATE			
16. For the cooperating country: The terms and conditions set forth herein are hereby agreed to			17. For the Agency for International Development		
Signature _____ DATE _____			Signature _____ DATE _____		
Title _____			Title 31306		

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IOCs

Attachment A

Background: This paragraph should contain enough information to enable the proposed contractor to understand the context in which the work is required and will be undertaken.

- I. **TITLE:** The title is used for identification purposes only.
- II. **OBJECTIVE:** It is important that the objective be for work order, not a larger project of which the work order is a part. When the Contractor is to supply one member of a team, the objective of the work order would be something like — "To provide technical guidance in the field of _____ to a team which shall _____".
- III. **STATEMENT OF WORK:** Often it is useful to use "general" and "specific" headings.

Do not include in the statement of work:
 - background material;
 - what support, assistance, etc. is to be furnished to the contractor;
 - the submission of reports and other written items prepared by the contractor;
 - qualifications of team members.
- IV. **REPORTS:** The report section should cover all items to be submitted by the contractor. It should indicate if AID requires submission of a draft. It should indicate for finals (and drafts if appropriate) when, to whom, and in how many copies each item accepts responsibility for the final report, the final version of the report should normally be submitted by the contractor's home office - not by the contractor's field team.
- V. **RELATIONSHIPS AND RESPONSIBILITIES:** You should be careful not to split the technical directions function. The contractor can not comply with two, often conflicting sets of directions. Also, institutional contractor's personnel can not by law be subject to the supervision of Government employees.
- VI. **TERM OF PERFORMANCE:** The calendar period of performance.
- VII. **LEVEL OF EFFORT:** The technical office must project the number of days services required and the fixed daily rate. This item will not appear in the request for proposal. It will be used to judge the reasonableness of the level of effort proposed by the contractor. The work order will contain the level of effort negotiated.
- VIII. **AID ILLUSTRATIVE BUDGET:** This is the Government's independent estimate. It must contain a detailed breakdown of the budget. It will not be included in the request for proposals but will be utilized to judge the reasonableness of the budget proposed by the contractor.
- IX. **Include the following, as appropriate:**
 - DUTY POST
 - LANGUAGE REQUIREMENTS AND OTHER REQUIRED QUALIFICATIONS. Will assume none if not stated differently.
 - ACCESS TO CLASSIFIED INFORMATION. Will assume none if not stated differently.
 - LOGISTICS SUPPORT. Should detail all support to be given to the contractor, including material to review, in kind services to be provided by Missions and host governments, etc.

If the host government is to provide services or goods, the language should be precise. For example - differentiate between "will provide" and "will provide, if available".

2nd Edition
July 1979

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

Attachment B

Coordinating Technical Office

<u>Sector</u>	<u>Office</u>	<u>Contact</u>	<u>Phone No.</u>
1. Agriculture	DS/AGR	Mr. Kenneth McDermott	235-8974
2. Rural Development	DS/RAD	Ms. Jeanne North	235-8918
3. Health/Population	DS/HEA	Mr. Jack Royer	235-9649
4. HandPump Technology	DS/BEA	Mr. V. Wehman	235-9686
5. Nutrition	DS/N	Ms. Hope Sukin	235-8996
6. Education/Human Resources	DS/ED	Mr. David Sprague	235-9012
7. Development Administration	DS/DA	Ms. Jeanne North	235-8918
8. Urban and Regional Administration	DS/UD	Mr. Eric Chetwynd	235-9062
9. Energy Systems	DS/EY	Mr. Allen Jacobs	235-9090
10. Environmental and Natural Resources Dev.	DS/ST	Mr. William Roseborough	235-9035
11. Library Information Systems	DS/DIU/DI	Mr. Garland Stanrod	235-2304
12. Population Logistics	DS/POP	Mr. Donald Newman	235-8675
13. Data Management	SER/DM	Mr. Jerry Lewis	632-0126
14. Engineering	DS/ENGR	Mr. Juan Cabrero	235-9800
15. Financial Management	FM/ASD	Mr. Thomas Martindale	632-0162
16. Housing	DS/H	Mr. James Grossman	632-0086
17. Personnel	OPT/PSGD	Mr. Daniel Creedon	235-9224

2nd Edition
July 1979
Attachment B

31308

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

MEMORANDUM

TO : SER/CM/SOD/PDC, Mr. M. H. Snyder
or (Line out one)
SER/CM/COD/OTR, Mr. L. E. Stanfield

FROM : _____, _____ (Please sign)
(Office Symbol) (Name)

SUBJECT: Request and Recommendations for Issuance of Work Order

I recommend that you negotiate a Work Order under Indefinite Quantity Contract (IQC) No. _____ with _____

for the services in the attached PIO/T No. _____.

This is an AID/W funded PIO/T. The AID/W project manager who will administratively approve contractor voucher requests for payment is _____.

- OR -

This is a Mission funded PIO/T. The Mission project manager who will administratively approve contractor voucher requests for payment is _____.

I certify that to the best of my knowledge:

- (1) The required services are not a fragmentation of a known long-term requirement for the services of the recommended Contractor;
- (2) No AID direct hire employee or other individual resources such as experts and consultants or personal services contractors are available which can properly be used to perform the required services; and
- (3) No AID employee has suggested to the Contractor that the placement of an order is conditioned upon the Contractor's utilization of an individual or individuals not initially located and identified by the Contractor.

Informal contacts indicate that the Contractor will propose the following individuals (please list name and position):

_____, _____, _____
_____, _____, _____
_____, _____, _____

The person in this office to be contacted concerning this request is:

_____ Telephone _____ Room _____

The alternate is:

_____ Telephone _____ Room _____

The services required should start _____ days from the date of this memorandum.

Attachment: PIO/T

cc: Coordinating Technical Officer, * _____,
(Office Symbol) (Name)

* See Att. B of the IQC Procedures for appropriate Coordinating Technical Officers.

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

Dear _____:

Enclosed hereto is a scope of work and other supporting information relating to a proposed _____.

You are hereby requested to provide to this office at the earliest possible date a proposal for accomplishing this work under a work order to be issued under Indefinite Quantity Contract _____. Your proposal should contain as a minimum:

- A proposed time schedule;
- Biographical data for proposed personnel;
- Relationship to organization of proposed personnel (if not included in your original proposal) including statements that each of the proposed personnel is a full-time employee of your organization, an intermittent employee participating pro-rata in all employee benefits or a consultant employed only intermittently by your organization and not eligible to participate in your organization's benefit program;
- A statement that all individuals proposed were initially located and identified by the contractor;
- Salary history for all proposed personnel for prior two years;
- Certification of salary for all proposed personnel in the form:

I/We certify that the fixed daily rates proposed herein are based on actual salaries or fees which the proposed employees/consultants will receive for each day of services covered by this proposal.

(signed)

(date)

- Detailed level of effort projections. Must have separate line item for each individual proposed;
- Detailed budget;
- Any proposed changes to Enclosure A hereto;
- Minority and Women Representation on Overseas Team Agreement.

Any technical questions concerning this request for proposal should be addressed to _____, Office of _____, Bureau of _____. Questions of a contractual nature should be addressed to the cognizant negotiator, _____, at _____.

Sincerely yours,

Contracting Officer
Office of Contract Management
Bureau for Management Services

cc: Project Manager, Coordinating Technical Office

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

Attachment D
Enclosure A

Background (from PIO/T)

- I. TITLE (from PIO/T)
- II. OBJECTIVE (from PIO/T)
- III. STATEMENT OF WORK (from PIO/T)
- IV. REPORTS (from PIO/T)
- V. RELATIONSHIPS AND RESPONSIBILITIES (from PIO/T)
- VI. TERM OF PERFORMANCE (from PIO/T)
- VII. etc.

(Duty Post, Language Requirements, Access to Classified Material
and Logistics Support, as required).

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

1st Edition
June 1978

UNITED STATES OF AMERICA
AGENCY FOR INTERNATIONAL DEVELOPMENT

Attachment E

1. Country of performance _____
2. Mark one and insert appropriate numbers:
- Indefinite Quantity Contract No. _____, Work Order No. _____
- Requirements Contract No. _____, Delivery Order No. _____
- Basic Ordering Agreement No. _____, Task Order No. _____

NEGOTIATED PURSUANT TO THE FOREIGN ASSISTANCE ACT
OF 1961, AS AMENDED, AND EXECUTIVE ORDER 11223

3. CONTRACTOR (Name and Address):	4. CONTRACTING OFFICE (Name and Address):
5. PROJECT OFFICE (Name and Address):	6. SUBMIT VOUCHERS TO (Office Name and Address):
7. EFFECTIVE DATE:	8. ESTIMATED COMPLETION DATE:
9. ACCOUNTING AND APPROPRIATION DATA (Insert appropriate numbers): Amount Obligated: _____ PIO/T No.: _____ Appropriation No. _____ Allotment No.: _____	
10. The United States of America, represented by the Contracting Officer signing this Order, and the Contractor agree that: (a) this Order is issued pursuant to the Contract or Agreement specified in Block 2 above and (b) the entire Contract between the parties hereto consist of this Order and the Contract or Agreement specified in Block 2 above.	
11a. NAME OF CONTRACTOR:	11b. UNITED STATES OF AMERICA AGENCY FOR INTERNATIONAL DEVELOPMENT
BY (Signature of authorized individual):	BY (Signature of Contracting Officer):
TYPED OR PRINTED NAME:	TYPED OR PRINTED NAME:
TITLE:	TITLE: CONTRACTING OFFICER
DATE:	DATE: 31312

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

1st Edition
June 1978

SCHEDULE

Attachment E

- I. TITLE (Same as PIO/T and RFP)
- II. OBJECTIVE (Same as PIO/T and RFP)
- III. STATEMENT OF WORK (Same as PIO/T and RFP as modified during negotiations and approved by project manager)
- IV. REPORTS (Same as PIO/T and RFP as modified during negotiations and approved by project manager)
- V. RELATIONSHIPS AND RESPONSIBILITIES (Same as PIO/T and RFP)
- VI. TERM OF PERFORMANCE (Same as PIO/T and RFP as modified during negotiations and approved by project manager)
- VII. LEVEL OF EFFORT (As negotiated based upon proposal, PIO/T and approved by the project manager)
- VIII. BUDGET (As negotiated based upon proposal, PIO/T and approved by the project manager)
- IX. USE OF GOVERNMENT FACILITIES OR PERSONNEL

(a) The Contractor and any employee or consultant of the Contractor is prohibited from using U.S. Government facilities (such as office space or equipment) or U.S. Government clerical or technical personnel in the performance of the services specified in the Contract, unless the use of Government facilities or personnel is specifically authorized in the Contract, or is authorized in advance, in writing, by the Contracting Officer.

(b) If at any time it is determined that the Contractor, or any of its employees or consultants have used U.S. Government facilities or personnel without authorization either in the Contract itself, or in advance, in writing, by the Contracting Officer, then the amount payable under the Contract shall be reduced by an amount equal to the value of the U.S. Government facilities or personnel used by the Contractor, as determined by the Contracting Officer.

(c) If the parties fail to agree on an adjustment made pursuant to this clause, it shall be considered a "dispute" and shall be dealt with under the terms of the "Disputes" clause of the Contract.

The following as appropriate:

Duty Post
Access to classified information
Logistics Support

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-HIDE ICs

1st Edition
June 1978

Attachment F

OUTGOING TELEGRAM

OPTIONAL FORM NO. 10

USE PREVIOUS EDITION

Dept. of State

UNCLASSIFIED

ROUTINE

E.O. 11652: N/A

TAGS:

SUBJECT: NOTIFICATION OF CONTRACT EXECUTION

CONTRACT NO.:

WORK ORDER NO.:

SIGNATURE AND EFFECTIVE DATE:

ESTIMATED COMPLETION DATE:

PIO/T NO.:

PROJECT NO.:

PROJECT TITLE:

CONTRACTOR:

31314

UNCLASSIFIED

PROCEDURES FOR THE ISSUANCE OF WORK ORDERS UNDER AGENCY-WIDE IQCs

Attachment G

To: Mission Director/AID Representative
USAID _____

From: Contracting Officer, CM

Subject: Work Order under IQC

Attached for your information is one copy of a work order executed by this office pursuant to instructions received from _____ under which the contractor will perform services in _____.

The bureau technical office will notify you by cable when the contractor's employees will be arriving in country.

Please note that only the AID/Washington Contracting Officer may amend the work order. If it becomes necessary to change or increase the scope of work or budget, extend the period of the order, or otherwise modify the work order, please cable the necessary information to your regional bureau backstop office so that we may amend the order in a timely fashion.

cc: Coordinating Technical Officer _____

31315

UNITED STATES GOVERNMENT

Memorandum

TO : See Distribution

DATE: APR 30 1980

FROM : SER/CM/SD, *James Murphy*

SUBJECT: Monthly Report on the Use and Status of Indefinite Quantity Contracts (IQC's) as of March 31, 1980.

Attached is the subject report on the status and usage of AID Indefinite Quantity Contracts as of March 31, 1980.

A recap of this report shows that during March, 36 Work Orders (including 6 special requisitions under printing IQC's) were completed which obligated or subobligated \$653,900 (rounded to nearest \$100).

A summary of these actions is as follows:

- o Small Businesses - Fourteen actions (39%)
totalling \$236,200 (36%)
- o Minority Businesses - Four actions (11%)
totalling \$99,600 (15%)
- o 8(a) - Two actions (6%)
totalling \$32,800 (5%)
- o Other - Sixteen actions (44%)
totalling \$285,300 (44%)

Attachment: a/s

Distribution:

AA/AFR, G. Butcher
AA/AFR, H. Smith
AA/NE, E. Vinson
AFR/DR/PSS, N. Caticchio
AFR/EA, H. Johnson
ASIA/DP, R. Halligan
ASIA/PD/ENGR, J. Pinney
DS/AGR, K. McDermott
DS/AGR, T. Gill
DS/DAA, J. I. Bruce
DS/DIU, M. Brown
DS/ED, D. Sprague
DS/ENGR, J. Cabrero

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PDC/RDP, W. Lyles
SDB, R. Malley
SDB/SB, N. Rowe
SER/CM, H. Dwelley
SER/CM, Deputy Director
SER/CM, Division Chiefs
SER/CM, M. Snyder
SER/MP, P. Drohat
ACO's
All USAID Controllers

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

I Q C M O N T H L Y R E P O R T

M A R C H 3 1, 1 9 8 0

F O R I N T E R N A L U S E O N L Y

31401

KEY TO ABBREVIATIONS

F.T.-----Full Time
C.-----Consultants
I.-----Intermittent employees
P.T.-----Part Time
S.-----Staff
A.C.-----Associate Consultants
S.C.-----Staff Consultants

• • • • •
• NOTE: ADDITIONAL INFORMATION SHOULD BE OBTAINED FROM •
• APPROPRIATE TECHNICAL OFFICE •
• • • • •

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ACCOUNTING AND FINANCIAL MANAGEMENT SERVICES

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS</u>		<u>TOTAL WORK ORDERS</u>		<u>MINIMUM VALUE</u>	<u>MAXIMUM VALUE</u>	<u>TECHNICAL OFFICE</u>	<u>EXPIRATION DATE</u>
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>				
otr-C-1771	Executive Management Services (SB)	Accounting and Financial Management Serv.	0	-0-	1	\$ 11,000	\$5,000	\$500,000	FM/ASD	8/29/81
otr-C-1772	Arthur Young and Company	"	0	-0-	0	-0-	\$5,000	\$500,000	"	8/29/81
otr-C-1773	Coopers & Lybrand	"	0	-0-	1	71,670	\$5,000	\$500,000	"	9/17/81
otr-C-1774	Peat, Warwick, Mitchell & Co.	"	0	-0-	1	41,947	\$5,000	\$500,000	"	9/9/81
otr-C-1750	Birch & Davis Assoc. Inc. B(a) (SB)(MB)	"	0	-0-	0	-0-	\$5,000	\$500,000	"	6/30/81

MARCH 31, 1980

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AGRICULTURE

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>TYPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
sod/PDC-C-0215	Engineering Cons. William C. Wanger (303) 936-3417	Agriculture- Design & Eval.	0	-0-	0	-0-	\$3,000 \$700,000	DS/AGR	5/22/81	F.T.	2.24
sod/PDC-C-0216	Robert R. Nathan Assoc. Inc. J.P. Penkusky (202) 833-2200	"	0	-0-	1	\$ 58,962	\$3,000 \$700,000	"	6/4/81	F.T. I.	2.724 1.662
sod/PDC-C-0217	Consortium for Int'l. Develop. L.D. White (801) 752-4100 753-2801	"	1	\$112,441	6	399,988	\$3,000 \$700,000	"	5/22/81	F.T. Oregon Arizona Washington California Idaho Utah Colorado Texas Tech New Mexico	2.04 1.88 1.93 1.93 2.03 1.96 2.02 1.82 1.80
sod/PDC-C-0218	Multinational Agri- business Sys. Inc. Gaylord Walker (202) 872-8782 (SB)	"	1	42,271	8	242,057	\$3,000 \$700,000	"	6/4/81	F.T. I.	2.09 1.99
sod/PDC-C-0219	Experience, Inc. Carl F. Van Haeften (202) 659-3864	"	0	-0-	5	167,043	\$3,000 \$700,000	"	5/30/81	S.C. A.C. (Official) A.C. (Non- Official)	2.05 1.88 1.79

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AGRICULTURE (CONTINUED)

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>WORK ORDERS NO.</u>	<u>VALUE</u>	<u>WORK ORDERS NO.</u>	<u>VALUE</u>					
sod/PDC-C-0220	Chemonics Candace C. Conrad (202) 466-5340	Agriculture- Design & Eval.	0	-0-	1	\$ 29,592	\$3,000 \$700,000	DS/AGH	5/22/81	F.T. C.	2.16 1.62
sod/PDC-C-0221	Development and Resources Corp. John J. Silveira (916) 444-6540	"	0	-0-	0	-0-	\$3,000 \$700,000	"	5/23/81	F.T. I.	2.25 1.68
sod/PDC-C-0222	Public Admin. Service Theodore Sitkoff (202) 833-2505	"	0	-0-	1	\$ 15,038	\$3,000 \$700,000	"	5/22/81	F.T. I.	1.93 1.52
sod/PDC-C-0223	Devres, Inc. Dennis H. Wood (202) 797-9610 (SB)	"	1	\$36,500	3	139,124	\$3,000 \$700,000	"	5/22/81	F.T. I.	2.0 1.75
sod/PDC-C-0224	Pacific Cons. Stephen Edelmann (202) 466-6480 (MB)(SB)	"	0	-0-	1	\$ 4,774	\$3,000 \$700,000	"	5/22/81	F.T. C.	2.40 1.80

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AGRICULTURE (CONTINUED)

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDER NO.</u>	<u>VALUE</u>	<u>TOTAL WORK ORDER NO.</u>	<u>VALUE</u>	<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
sod/PDC-C-0225	Resource Develop. Associates Ken Craib (415) 961-7477 (SB)	Agriculture- Design & Eval.	0	-0-	3	\$ 184,444	\$1,000 \$700,000	DS/AGR	5/22/81	F.T. & P.T. 2.38
sod/PDC-C-0226	Clapp & Hayne Edibaldo Lopez (809) 723-9797 (SB)	"	0	-0-	0	-0-	\$1,000 \$700,000	"	5/22/81	F.T. I. 2.248 1.924
sod/PDC-C-0227	Development Alternatives Virginia Anderson (202) 833-8140 (SB)	"	0	-0-	2	115,862	\$3,000 \$700,000	"	5/22/81	F.T. 2.112
sod/PDC-C-0228	Dimpex Associates L.R. Hazelwood (212) 966-7967 (MB)(SB)	"	0	-0-	0	-0-	\$1,000 \$700,000	"	5/22/81	All 1.88
/PDC-C-0229	The Onyx Corp. Walter Kalman (404) 681-0600 (MB)(SB)	"	0	-0-	0	-0-	\$3,000 \$700,000	"	5/22/81	F.T. 2.04 C. 1.39

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AGRICULTURE (CONTINUED.)

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
sod/PDC-C- 0230	A.L. Nellum and Associates Albert L. Nellum (202) 862-9300 (MU)(SB)	Agriculture- Design & Eval.	1 \$13,935	2 \$ 71,383	\$3,000 \$700,000	DS/AGR	5/22/81	All 1.9872

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ARCHITECT AND ENGINEERING SERVICES

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM VALUE</u>	<u>MAXIMUM VALUE</u>	<u>TECHNICAL OFFICE</u>	<u>EXPIRATION DATE</u>
otr-C-1783	Roy Jorgensen Assoc.	Architect & engineering services	0 -0-	0 -0-	\$3,000	25 person months	DS/ENGR,	9/25/81
otr-C-1788	Louis Berger Int'l. Incorporated	"	0 -0-	0 -0-	\$3,000	25 person months	"	10/14/81
otr-C-1795	Morrison-Maierle, Inc. (SB)	"	0 -0-	0 -0-	\$3,000	\$600,000	"	1/15/82
otr-C-1799	C.E. Maguire, Inc.	"	0 -0-	0 -0-	\$3,000	\$600,000	"	1/31/82

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DATA PROCESSING SERVICES

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM</u>	<u>MAXIMUM</u>	<u>TECHNICAL</u>	<u>EXPIRATION</u>
			<u>WORK ORDERS</u>	<u>VALUE</u>	<u>WORK ORDERS</u>	<u>VALUE</u>				
otr-C-1759	Pinkerton Computer Consultants, Inc. (SB)	Data Processing services	0	-0-	2	\$ 41,946	\$3,000	\$660,000	SER/DM	8/2/81
otr-C-1760	Electronic Data Systems	"	0	-0-	0	-0-	\$3,000	\$660,000	"	8/3/81
otr-C-1781	Evaluation Tech. Incorporated (SB)(MB)	"	0	-0-	1	62,122	\$3,000	\$660,000	"	9/19/81
otr-C-1791	Group Operations, Inc. (SB)	"	0	-0-	0	-0-	\$3,000	\$660,000	"	12/5/81
otr-C-1792	Systems & Applied Science Corp. (SB)	"	0	-0-	0	-0-	\$3,000	\$660,000	"	12/13/81

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DEVELOPMENT ADMINISTRATION

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
sod/PDC-C-0157	Multinational Agri-business Sys. Inc. Gaylord Walker (202) 337-8782 (SB)	Development Administration	1	\$16,665	2	\$ 67,527	\$3,000 \$700,000	DS/HAD	4/22/81	F.T. C.	2.09 1.99
sod/PDC-C-0158	Development Assoc. Peter B. Davis (703) 979-0100 (MB)	"	0	-0-	2	50,841	\$3,000 \$700,000	"	4/22/81	F.T.	1.955
sod/PDC-C-0159	Triton Corp. Richard Slavatierra (202) 337-1150 (Mu) (SB)	"	0	-0-	1	18,078	\$3,000 \$700,000	"	4/20/81	F.T. C.	1.56 1.30

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EDUCATION

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THI. MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
sod/PDC-C-0191	Academy for Ed. Development Cheryll Greenwood (202) 862-1900	Education - Design & Eval.	0	-0-	12	\$ 434,677	\$3,000 \$700,000	DS/ED	4/23/81 *	F.T. I. C.	1.7029 1.6129 1.3694
sod/PDC-C-0192	World Education Thomas B. Keehn (212) 838-5253	"	0	-0-	2	32,564	\$3,000 \$700,000	"	4/23/81	F.T.	1.70
sod/PDC-C-0193	Development Assoc. Peter B. Davis (703) 979-0100 (MB)	"	0	-0-	3	64,074	\$3,000 \$700,000	"	4/23/81	F.T.	1.966
sod/PDC-C-0194	Inst. for Serv. to Education Albert Herrian (MNV)	"	0	-0-	1	5,000	\$3,000 \$700,000	"	4/23/81	F.T. C.	1.48 1.25
sod/PDC-C-0195	Roy Littlejohn & Assoc., Inc. Roy Littlejohn (202) 618-1388 (MB)(SB)	"	0	-0-	0	-0-	\$3,000 \$700,000	"	4/23/81	F.T. C.	2.33 1.07

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EDUCATION (CONTINUED)

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
80d/PDC-C-0205	Group Seven Assoc. Dr. A. Fiks (703) 548-1878 (SB)	Education - Design & Eval.	0	-0-	2	\$ 79,440	\$3,000 \$700,000	DS/ED	5/9/81	S.	1.8498

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ENERGY

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>				
sod/PDC-C-0300	Chas. T. Main, Inc. A.W. Huseby (617) 262-3200	Design & Eval.- Energy	0	-0-	0	-0-	\$3,000 \$700,000	"	11/20/81	F.T. 2.26
sod/PDC-C-0301	Gordian Assoc./ Louis Berger Int'l. Samuel Hale (202) 828-7300	"	0	-0-	1	\$15,000	\$3,000 \$700,000	"	11/19/81	Gordian FT 2.64 Berger FT 2.40 Fixed Term 2.12
sod/PDC-C-0302	PRC Energy Analysis (A Division of Plan. Research Corp.) Eloise Bean (703) 893-1820	"	0	-0-	0	-0-	\$3,000 \$700,000	"	11/19/81	F.T. 2.21
sod/PDC-C-0303	Georgia Tech. Research Inst. Carol Cooke (404) 894-4814	"	1	\$29,713	1	29,713	\$3,000 \$700,000	"	11/19/81	On Campus 1.86 Off Campus 1.62
sod/PDC-C-0304	Burns & Roe, Inc. A.C. Pucillo (516) 677-4000	"	0	-0-	0	-0-	\$3,000 \$700,000	"	11/19/81	F.T. 2.08
sod/PDC-C-0305	United Engineers Robert W. Moore (215) 422-4415	"	0	-0-	0	-0-	\$3,000 \$700,000	"	11/19/81	F.T. 1.92

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ENERGY (CONTINUED)

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER</u>	<u>FACTOR</u>
			<u>NO.</u>	<u>VALUE</u>	<u>WORK ORDERS</u>	<u>VALUE</u>					
sod/PDC-C-0306	Development Sciences James Westfield (617) 888-0101 (SB)	Design & Eval. Energy	1	\$33,200	3	\$ 60,873	\$3,000 \$700,000	DS/EY	11/19/81	F.T. C	2.70 1.08
sod/PDC-C-0307	Int'l. Energy Associates, Ltd. Nelson Sievering (202) 338-8230 (SB)	"	0	-0-	0	-0-	\$3,000 \$700,000	"	11/19/81	F.T.	2.552
sod/PDC-C-0309	Automated Manage- ment System Carlton Joseph (301) 459-4088 (MB)(SB)	"	0	-0-	0	-0-	\$3,000 \$700,000	"	11/19/81	F.T. I C	2.16 1.97 1.08
sod/PDC-C-0310	The E. C. Corp. Orlino C. Baldonado (615) 966-2438 (MB)(SB)	"	1	21,255	1	21,255	\$3,000 \$700,000	"	11/20/81	F.T. C	1.79 1.248
sod/PDC-C-0311	Applied Solar Tech, Inc. (SB)	"	0	-0-	0	-0-	\$3,000 \$350,000	"	11/19/81	F.T.	1.52
sod/PDC-C-0312	Polytech Consulting Engineers (SB) (MB)	"	0	-0-	0	-0-	\$3,000 \$350,000	"	11/19/81	F.T.	2.45

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ENVIRONMENTAL AND NATURAL RESOURCE DEVELOPMENT

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
sod/PDC-C-0247	JRB Associates B.M. Wachter (703) 790-9560	Environmental & Natural Res. Development	0	-0-	1	\$ 49,396	\$3,000 \$700,000	DS/ST	7/9/81	JRB Staff SAI Staff C.	2.30 2.59 1.204
sod/PDC-C-0248	Nathtech, Inc. Norman I. Agin (404) 491-0366	"	0	-0-	0	-0-	\$3,000 \$700,000	"	6/28/81	F.T. C.	2.487 1.21
sod/PDC-C-0249	Harza Engineering Company Lee Polivka (312) 855-7000	"	0	-0-	1	76,440	\$3,000 \$700,000	"	6/28/81	F.T.	2.213
sod/PDC-C-0250	Environmental Cons. Inc. J. S. Donaldson (214) 233-8261 (SU)	"	0	-0-	0	-0-	\$3,000 \$700,000	"	6/28/81	F.T.	2.155
sod/PDC-C-0251	International Science & Tech. Institute B.K. Wesley Copeland (202) 296-2686 (RB)(SB)	"	1	\$ 9,368	1	9,368	\$3,000 \$700,000	"	6/28/81	F.T. C.	2.09 1.21
sod/PDC-C-0252	Pro-Lysts William Watkins (503) 485-6877 (NU)	"	0	-0-	0	-0-	\$3,000 \$700,000	"	6/28/81	F.T. & C.	2.214

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EVALUATIONS OF PL-480 TITLE II FEEDING PROGRAMS

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
sod/PDC-C-0261	Practical Concepts, Inc. Lawrence Posner (202) 833-1040 (SB)	Evaluations of PL-480 Title II Feeding Programs	0 -0-	1 \$72,565	\$3,000 \$700,000	PDC/FFP/ Title II	8/2/81	F.T. 2.77 I. 2.11
sod/PDC-C-0262	Development Assoc. Carolyn Payton (703) 979-0100 (MB)	"	0 -0-	0 -0-	\$3,000 \$700,000	"	8/6/81	Staff 1.966
sod/PDC-C-0263	Systematics General Gary F. Mason (703) 698-8500 (SB)	"	0 -0-	0 -0-	\$3,000 \$700,000	"	8/6/81	F.T. 1.69 C. 1.07
sod/PDC-C-0264	Int'l. Science & Tech. Institute Nihal Goonewardene (202) 296-2686 (MR)(SB)	"	0 -0-	0 -0-	\$3,000 \$700,000	"	8/6/81	Staff 2.09 C. 1.21

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FOREIGN LANGUAGES

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>TRAINING REQUEST NO. VALUE</u>	<u>TOTAL TRNG. REQUEST NO. VALUE</u>	<u>MINIMUM VALUE</u>	<u>MAXIMUM VALUE</u>	<u>TECHNICAL OFFICE</u>	<u>EXPIRATION DATE</u>
otr-C-1715	Int'l. Center for Language Studies	Provide foreign language in- struction for AID & PASA personnel	2 \$ 6,805	62 \$ 125,218	\$3,000	\$200,000	OPT/PSCB	1/4/81
otr-C-1716	Inlingua Schools of Languages	Provide profi- ciency in lan- guage training	5 14,780	29 57,396	\$3,000	\$ 80,000	"	2/7/81
otr-C-1749	Inlingua Schools of Languages	"	0 -0-	15 28,305	\$3,000	\$ 40,000	"	6/30/80

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HANDPUMP TECHNOLOGY

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
sod/PDC-C-0143	Georgia Institute of Technology D. B. Allen (408) 894-4819	Handpump prog. Tech. assist.	0 -0-	3 \$ 31,204	\$3,000 \$700,000	DS/HEA	12/28/80	On-Campus 1.86 Staff Off-Campus 1.55 Staff
sod/PDC-C-0180	MetaMetrics, Inc. Leo Suela, Jr. (202) 966-7276 (MB)(SB)	"	0 -0-	0 -0-	\$3,000 \$700,000	"	4/17/81	F.T. 2:268 C. 1.388

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HEALTH

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>WORK NO.</u>	<u>ORDERS VALUE</u>	<u>WORK NO.</u>	<u>ORDERS VALUE</u>					
sod/PDC-C- 0162	Medical Services Consultants, Inc. Catherine ERimoff (703) 525-8310 (SB)	Trop.Diseases- Design & Eval.	0	-0-	3	\$ 91,850	\$3,000 \$700,000	DS/HEA	3/25/81	F.T. I.	1.68 1.53
sod/PDC-C- 0163	Insect Control & Research, Inc. Eugene J. Gerberg (301) 747-4502 (SB)	"	0	-0-	1	36,781	\$3,000 \$700,000	"	3/26/81	F.T. & C.	1.75
sod/PDC-C- 0164	American Public Health Assoc. William H. McDeath (202) 467-5000 (SB)	"	0	-0-	1	247,102	\$3,000 \$700,000	"	4/1/81	F.T. C.	1.94 2.10
sod/PDC-C- 0178	MetaMetrics, Inc. Leo T. Surla, Jr. (202) 966-7276 (MB)(SP)	Rural Water Supply & Sanitation	0	-0-	3	56,582	\$3,000 \$700,000	"	4/17/81	F.T. C.	2.268 1.388

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HEALTH (CONTINUED)

CONTRACT No.	CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER	TYPE SERVICE	THIS MONTH		TOTAL		MINIMUM/ MAXIMUM VALUE	TECH. OFFICE	EXPIR. DATE	MULTIPLIER	FACTOR
			WORK ORDERS NO.	VALUE	WORK ORDERS NO.	VALUE					
sod/PDC-C-0178	National Water Well Association Jay H. Lehr (614) 846-WEEL	Rural Water Supply & Sanitation	0	-0-	1	\$ 76,163	\$3,000 \$700,000	DS/NEA	4/17/81	F.T.	1.756
sod/PDC-C-0187	Westinghouse Elec. Corp.-Health Sys. Bernard Watts (301) 992-3100	Health planning	0	-0-	2	124,333	\$3,000 \$700,000	"	4/24/81	F.T. C.	2.07 1.5
sod/PDC-C-0188	Family Health Care Inc. Lawrence Williams (202) 293-2370 (SB)	"	1	\$19,335	2	48,557	\$3,000 \$700,000	"	4/25/81	F.T. C.	2.215 1.294
sod/PDC-C-0198	Management Sciences for Health Peter Moussell (617) 482-9450	"	1	10,500	11	241,328	\$3,000 \$700,000	"	4/23/81	F.T. C.	1.777 1.568
sod/PDC-C-0200	SECON, Inc. Dr. Rosalyn King (301) 986-8835 (MB)(SB)	"	0	-0-	1	11,263	\$3,000 \$700,000	"	4/24/81	F.T. C.	1.85 1.09
sod/PDC-C-0201	One America, Inc. Julia Robinson (202) 628-2216 (MB)(SB) (8a firm, but not awarded 8a)	"	1	55,000	4	175,666	\$3,000 \$700,000	"	4/24/81	F.T. C.	2.34 1.1

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HOUSING POLICY AND HOUSING GUARANTY PROGRAMS

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM</u>	<u>MAXIMUM</u>	<u>TECHNICAL</u>	<u>EXPIRATION</u>
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>				
01R-C-1632	PADCO (SB)	Housing Policy and Housing Guaranty Prog.	0	-0-	20	\$ 431,698	\$4,500	54 person months 46 person mos. used	DS/H	3/5/80
01R-C-1633	Robert M. Nathan Assoc., Inc.	"	0	-0-	4	97,611	\$4,500	54 person months 9 person mos. used	"	3/31/80
01R-C-1634	De Voy Collaborative (SB)	"	0	-0-	8	127,097	\$4,500	54 person months 6 person mos. used	"	4/7/80
01R-C-1635	Richard T. Pratt Assoc., Inc. (SB)	"	0	-0-	15	126,765	\$2,500	54 person months 16 person mos. used	"	4/20/80
01R-C-1636	Riviera Assoc. Inc. (SB)	"	1	\$11,938	10	203,831	\$4,500	54 person months 15 person mos. used	"	4/22/80
01R-C-1637	Abblee, Schwarz & Abbott/Huone Young & Assoc. (MI) (SA Firm, but was not awarded by) (SB)(MB)	"	0	-0-	8	185,359	\$4,500	54 person months 16 person mos. used	"	4/22/80

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HOUSING POLICY AND HOUSING GUARANTY PROGRAMS (CONTINUED)

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM</u>	<u>MAXIMUM</u>	<u>TECHNICAL</u>	<u>EXPIRATION</u>
			<u>WORK ORDERS</u>	<u>NO. VALUE</u>	<u>WORK ORDERS</u>	<u>NO. VALUE</u>				
otr-C-1641	Louis Berger International, Inc.	Housing Policy and Housing Guaranty Prog.	0	-0-	7	\$ 257,463	\$4,500	54 person months 28 person mos. used	DS/H	5/14/80
otr-C-1642	Clapp & Payne, Inc. (SB)	"	2	\$ 6,006	7	51,670	\$4,500	54 person months 8 person mos. used	"	6/4/80
otr-C-1655	Latin American Development Corp. (SB)	"	0	-0-	2	11,447	\$2,500	54 person months 1 person mo. used	"	4/30/80
otr-C-1657	Multi Family Housing Service, Inc. (SB)	"	0	-0-	3	34,908	\$2,500	54 person months 5 person mos. used	"	4/30/80

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LAND RESOURCES INVENTORY

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
508/PDC-C- 0070	Resources Develop- ment Associates Ken Craib (415) 961-7477 (SB)	Land resources inventory	0 -0-	2 \$ 57,543	\$1,000 \$400,000	DS/AGR/ SWM	5/11/80	F.T. & P.T. 2.38

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LIBRARY AND INFORMATION SCIENCES

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER</u>	<u>FACTOR</u>
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
sod-C-30	Warner-Eddison Associates, Inc. Sherril Rose (617) 661-8124 (SB)	Library and information sciences	0	-0-	4	\$ 67,799	\$1,000 \$200,000	DS/PPU	4/30/80	F.T.	3.10
sod-C-31	Hermer & Company Del Serrin (202) 293-2600 (SB)	"	0	-0-	6	70,807	\$1,000 \$200,000	"	4/30/80	F.T.	2.16
sod-C-32	Koba Associates- Small business Administration Helen Crawford (202) 265-9111 (S)(M)(SB)	"	0	-0-	2	129,755	\$1,000 \$200,000	"	4/30/80	F.T.	2.72
sod/PDC-C- 0002	Cucumber Bookshop, Inc. & Costabile Associates David Harris (301) 481-2722 (SM)	"	0	-0-	6	88,672	\$1,000 \$200,000	"	4/30/80	F.T.	1.72

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LOGISTIC SUPPORT - FAMILY PLANNING

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
sod/PDC-C-0059	Experience, Inc. Robert Delemarre (202) 659-3864	Tech. serv: logistic sup- port, pop. & family planning	0	-0-	1	\$ 13,075	\$1,000 \$400,000	DS/POP	4/16/80	S.C.	2.05
										A.C.	1.88
										(Official)	
										A.C.	1.79
										(Non-	
										Official)	
sod/PDC-C-0089	Medical Services Consultants Catherine Ekimoff (703) 525-8310 (SB)	"	0	-0-	4	53,923	\$1,000 \$400,000	"	8/18/80	F.T.	1.68
										I.	1.53
										C.	1.25

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MANAGEMENT CONSULTING SERVICES

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM VALUE</u>	<u>MAXIMUM VALUE</u>	<u>TECHNICAL OFFICE</u>	<u>EXPIRATION DATE</u>
otr-C-1689	Wooz-Allen & Hamilton, Inc.	Management Consulting Serv. Resource Support.	0 -0-	2 \$ 278,025	\$5,000	\$600,000	SEM/MP	8/30/80
otr-C-1690	Cresap, McCormick & Paget	"	0 -0-	3 151,147	\$5,000	\$600,000	"	9/12/80
otr-C-1691	Scientific Management Corp.	"	0 -0-	3 158,310	\$5,000	\$600,000	"	9/12/80
otr-C-1692	McMannis Assoc. Incorporated	"	0 -0-	0 -0-	\$5,000	\$600,000	"	9/12/80
otr-C-1693	Birch & Davis Associates (8a firm) (SB)(MB) Not awarded 8a	"	0 -0-	3 81,214	\$5,000	\$600,000	"	9/12/80
otr-C-1700	Emay, Inc. Small Business Administration s(a)(MU) (Name changed)	"	0 -0-	1 61,205	\$3,000	\$600,000	"	12/4/80

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MISCELLANEOUS

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>LAST QUARTER ORDERS</u>		<u>CUMULATIVE ORDERS</u>		<u>MINIMUM VALUE</u>	<u>MAXIMUM VALUE</u>	<u>TECHNICAL OFFICE</u>	<u>EXPIRATION DATE.</u>
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>				
otr-C-1725	American Overseas Book Company (8a)	Book procurement services		\$ 23,632		\$ 407,816	\$ 50	\$1,000,000	SER/CM	3/1/81

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NUTRITION, PLANNING & ANALYSIS

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
sod/PDC-C-0082	Community System Foundation W.D. Drake (313) 761-1357	Nutrition, planning and analysis	1	\$ 4,462	1	\$ 138,669	\$5,000 \$500,000	DS/N	8/18/80	Staff E.T. & C.	1.542
sod/PDC-C-0083	Medical Service Consultants, Inc. George Contis 703) 525-8310 (S)	"	0	-0-	6	33,372	\$5,000 \$500,000	"	8/18/80	F.T. I. C.	1.68 1.53 1.25
sod/PDC-C-0084	Transcentury Corp. Warren W. Wiggins (702) 462-6661 (S)	"	1	2,759	11	75,572	\$5,000 \$500,000	"	9/6/80	F.T. C.	1.92 1.20
sod/PDC-C-0085	Poyner International, Inc. George V. Poyner (301) 565-3132 (S)	"	1	13,500	8	92,932	\$5,000 \$500,000	"	8/28/80	S. C.	2.052 1.35
sod/PDC-C-0086	Manoff International, Inc. Thomas M. Cooke (202) 872-1533	"	0	-0-	2	33,248	\$5,000 \$500,000	"	8/16/80	Staff F.T. & I	2.92

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NUTRITION, PLANNING & ANALYSIS (CONTINUED)

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>					
god/PDC-C- 0087	Development Assoc. Loreo V. Sanchez (703) 979-0100 (MB)	Nutrition, planning and analysis	0	-0-	0	-0-	\$5,000 \$500,000	DS/N	8/16/80	Staff	1.96

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PRINTING

<u>CONTRACT NO.</u>	<u>CONTRACTOR</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDERS NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM VALUE</u>	<u>MAXIMUM VALUE</u>	<u>TECHNICAL OFFICE</u>	<u>EXPIRATION DATE</u>
otr-C-1658	McArdle Printing Company, Inc.	Printing and binding services	1 \$44,462	229 \$ 332,470	\$7,500	\$450,000	SER/HO/PAV	6/17/80
otr-C-1676	Scien-Tech Communications, Inc.	Duplicating & related services	1 400	112 122,559	\$5,000	\$300,000	"	6/2/80
otr-C-1678	Scien-Tech Communications, Inc.	Composition & Photo Offset printing serv.	1 625	46 35,921	\$ 50	\$375,000 (1st.12 mos) \$188,000 (last 6 mos)	"	5/5/80
otr-C-1679	Scien-Tech Communications, Inc.	"	0 -0-	23 22,817	\$ 50	\$125,000 (1st.12 mos) \$ 63,000 (last 6 mos)	"	5/5/80
otr-C-1748	Gateway Graphics of Va., Inc.	Printing and related	1 53,150	405 292,344	\$2,000	\$950,000	"	1/1/81
otr-C-1751	Andrews Repro- duction Center 8(a) (MB)	Copying and short-run duplicating	1 9,150	127 68,575	\$2,000	\$ 50,000	"	7/15/80
otr-C-1753	Bladen Lithographic Inc.	Produce copies of publication entitled "Agenda"	1 8,000	4 32,000	30,000 copies	40,000 copies	OPA	6/30/80

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RURAL DEVELOPMENT

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
			<u>NO.</u>	<u>VALUE</u>	<u>NO.</u>	<u>VALUE</u>				
sod/PDC-C-0160	Dimpex Assoc. Inc. L. R. Hazelwood (202) 785-0826 (NB)(SM)	Rural Develop. Design & Eval.	0	-0-	4	\$ 275,608	\$3,000 \$700,000	DS/RAD	3/4/81	F.T. & C. 1.88
sod/PDC-C-0161	Inter-American Develop. Inst. B. Liacuris (202) 332-0822 (MHP)	"	0	-0-	1	10,526	\$3,000 \$700,000	"	3/6/81	F.T. & C. 1.43
sod/PDC-C-0165	Experience, Inc. Robert Delemarre (202) 659-3864 (SB)	"	2	\$43,199	5	92,858	\$3,000 \$700,000	"	4/23/81	S.C. 2.05 A.C. Official 1.88 A.C. Non- Official 1.79
sod/PDC-C-0166	Multinational Agri- business Sys. Inc. Gaylord Walker (202) 872-8782 (SB)	"	0	-0-	1	180,783	\$3,000 \$700,000	"	4/22/81	F.T. 2.09 I. 1.99
sod/PDC-C-0167	Devres, Inc. Dennis H. Wood (202) 797-9610 (SU)	"	0	-0-	1	30,000	\$3,000 \$700,000	"	4/23/81	F.T. 2.00 I. 1.75

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RURAL DEVELOPMENT (CONTINUED)

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH</u>		<u>TOTAL</u>		<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>	
			<u>WORK ORDERS NO.</u>	<u>VALUE</u>	<u>WORK ORDERS NO.</u>	<u>VALUE</u>					
sod/PDC-C- 0188	Virginia State College Dr. Battie (804) 520-6581 (Minority Inst.)	Rural Develop. Design & Eval.	0	-0-	0	-0-	\$1,000 \$700,000	US/RAD	4/23/81	F.T.	1.623
sod/PDC-C- 0189	Development Alternatives, Inc. Donald Mickelwait (202) 833-8140 (SB)	"	1	\$ 3,135	7	\$ 204,270	\$1,000 \$700,000	"	4/23/81	F.T.	2.112
sod/PDC-C- 0190	Practical Concepts, Inc. Leon J. Rosenberg (202) 833-1040 (SB)	"	0	-0-	7	220,554	\$3,000 \$700,000	"	4/23/81	F.T. I.	2.77 2.11

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URBAN AND REGIONAL DEVELOPMENT

<u>CONTRACT NO.</u>	<u>CONTRACTOR PRINCIPAL CONTACT PHONE NUMBER</u>	<u>TYPE SERVICE</u>	<u>THIS MONTH WORK ORDER NO. VALUE</u>	<u>TOTAL WORK ORDERS NO. VALUE</u>	<u>MINIMUM/ MAXIMUM VALUE</u>	<u>TECH. OFFICE</u>	<u>EXPIR. DATE</u>	<u>MULTIPLIER FACTOR</u>
sod/PDC-C-0153	Applied Systems Institute, Inc. Duk J. Won (202) 705-0920 (MB)(SB)	Urban & Reg. Development	0 -0-	1 \$ 22,736	\$3,000 \$700,000	DS/UD	1/26/81	F.T. C. 1.562 1.10
sod/PDC-C-0154	Practical Concepts, Inc. Lawrence C. Posner (202) 833-1040 (SB)	"	1 \$ 7,732	5 129,114	\$3,000 \$700,000	"	2/14/81	F.T. I. 2.77 2.11
sod/PDC-C-0155	PADCO Judith A. Hawk (202) 296-0604 (SB)	"	0 -0-	5 119,038	\$3,000 \$700,000	"	2/15/81	S. C. 2.094 1.215
sod/PDC-C-0156	Clapp & Hayne Inc. Alvin Hayne (800) 723-9797 (SB)	"	0 -0-	3 54,335	\$1,000 \$700,000	"	J/15/81	F.T. I 2.248 1.92

MARCH 31, 1980

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MARCH 31, 1980

ACTIVE INC USAGE

	THIS MONTH		TOTAL TO DATE THIS FISCAL YEAR	
	NUMBER	VALUE	NUMBER	VALUE
AFRICA	0	0	0	0
ASIA	0	0	0	0
NEAR EAST	0	0	0	0
LATIN AMERICA	0	0	0	0
SEN	2	\$32,782	8	\$454,746
PPC	0	0	0	0
DS	0	0	0	0
MID	0	0	0	0
TOTAL	2	\$32,782	8	\$454,746

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DEPARTMENT OF STATE

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DATE REC'D

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DATE SENT

9/28/78

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For each address check one ACTION INFO

TO - AID/TO CIRCULAR A- 395 III.3.c

FROM - AID/WASHINGTON

E.O. 11652: N/A

SUBJECT - Short Term Technical Assistance Services in Nutrition -
Indefinite Quantity Contracts

REFERENCE - Contract Information Bulletin 78-11, June 28, 1978

1. Summary

AID has just signed "Indefinite Quantity Contracts" (IQCs) with six consulting organizations to provide short-term technical services in the area of nutrition planning, program design and evaluation. Their services are available to Missions on the same basis as previous Agency IQCs.

2. Description of Services

The IQC scope of work included in the Request for Proposals is quite broad covering most requirements for multi-sectoral nutrition programming. Although each contractor is not proficient in all areas, taken together they provide good coverage of the entire range. The subject areas of the scope of work follow:

I. Diagnosis of LDC nutrition problems and assessment of opportunities for improvement:

- a. Field assessment of nutrition status of children by anthropometric, clinical and bio-chemical measures;
- b. Field survey of consumption practices, habits and beliefs of target population;
- c. Field survey of consumption practices, habits and beliefs of target population;
- d. Field survey and analysis of household income and expenditure patterns as they relate to food consumption and nutrition status;

DRAFTED BY	OFFICE	PHONE NO.	DATE	APPROVED BY	PAGE	PAGES
RGPratt:pld	DS/N	51960	9/20/78	Martin J. Forman	1	5
SER/MP/DPC:WFradenburg (Phone) AFR/DR:MKirby (draft) LAC/DR:ABraunstein(draft)						
ASIA/TR:HRice (draft) UNCLASSIFIED SER/CM/SOD:MSnyder (draft)						

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P ADITO CIRCULAR A 395 NO. XXXXXXXXXXXXXXXXXXXX	CLASSIFICATION UNCLASSIFIED	PAGE 2 OF 5	PAGES
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- e. Analysis of nutrition data availability and information system requirements for nutrition programs;
- f. Analysis of food production and distribution systems in terms of nutritional consequences;
- g. Analysis of relationships between health status and services and nutrition status;
- h. Analysis of impact of environmental sanitation on nutrition status.

II. Design of nutrition improvement plans and programs, or nutrition components of other programs such as health or agriculture:

- a. Nutrition education on various nutrition subjects via several media including:
 - school systems
 - community extension services
 - mass media
 - maternal and child health (MCH) centers
 - traditional communications networks
 - child care centers
- b. Malnourished child rehabilitation;
- c. Environmental sanitation;
- d. Food production at family, community and national levels;
- e. Production and distribution of fortified, processed or natural nutritious food products;
- f. Nutrition status surveillance programs;
- g. Maternal and child feeding.

III. Development and execution of multi-sectoral nutrition policies and plans:

- a. Economic, analysis of impact of policies taken in agriculture, health, industry and trade sectors on nutritional status of population;
- b. Organization and management assistance to responsible government nutrition planning units;
- c. Assistance in preparation of national food and nutrition policies and plans.

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AID TO CIRCULAR A 395 NO. XXXXXXXXXXXXXXX	CLASSIFICATION UNCLASSIFIED	PAGE 3	PAGES OF 5
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IV. Planning, design and conducting of nutrition manpower development programs:

- a.. In-country short-term training programs for LDC personnel participating in nutrition improvement activities including field level workers, technical personnel, managers and policymakers. Training may take the form of seminars, workshops or on-the-job training;
- b. Curriculum and instruction improvement of technical schools for nurses, nutritionists, medical doctors, home economists and others involved in nutrition related activities;
- c. Planning long-term training in nutrition and nutrition planning.

V. Evaluation of nutrition improvement programs and their specific components:

- a. Evaluation of nutritional status impact of specific interventions;
- b. Evaluation of efficiency and effectiveness of nutrition program planning and implementation operations;
- c. Comparison of cost effectiveness of similar interventions in different locations.

3. The Contractors

The six contractors are listed below with a very brief description of their principal strengths and experience.

a. Community Systems Foundation (CSF)-IQC No. AID/SOD/PDC-0082

CSF has been active for the past several years in Zaire, Chile and Colombia in nutrition planning and research work and is currently carrying out an analysis of a number of community-level nutrition/health projects around the world and is publishing the Journal of Abstracts on Nutrition Planning through grants from DS/N. For purposes of the IQC, they have associated with Tulane University, School of Public Health; Terra Institute of Madison, Wisconsin, which provides agricultural and rural development expertise; and the Foundation for Higher Education (FES) in Cali, Colombia which provides Colombian nationals experienced in nutrition programs.

b. Development Associates-IQC No. AID/SOD/PDC-0087

Development Associates has worked extensively with AID primarily in rural development, health and evaluation. Under the new IQC they will provide multi-sectoral nutrition program services through their own staff and

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additional consultants with nutrition experience.

c. Manoff International-IQC No. AID/SOD/PDC-0086

Manoff will concentrate on nutrition education and communications aspects of nutrition programs employing specialists from many technical and social science disciplines. They have recently completed mass media nutrition education research projects in Nicaragua and the Philippines and have provided short-term consulting services to a number of Missions during the past several years.

d. Medical Service Consultants Inc.-IQC No. AID/SOD/PDC-0083

This firm has had extensive experience with AID in helping develop and implement health delivery system projects. They will now, for purposes of this IQC, expand their capabilities to cover more nutrition program requirements with emphasis on nutrition elements of health systems.

e. Poynor International-IQC No. AID/SOD/PDC-0085

Poynor has provided extensive nutrition planning and assessment assistance to Latin American countries, carried out an overall nutrition assessment of six Sahel countries in 1976 and is now conducting nutrition planning workshops in the Sahel and Central America through contracts with DS/N.

f. Transcentury Corporation-IQC No. AID/SOD/PDC-0084

Transcentury has carried out many short-term nutrition planning consulting and training assignments for AID through a contract with DS/N. They also recruited and trained the seven "intermediate nutrition planners" currently working in LDCs and are currently providing a long-term technical assistance team to Bolivia in support of the USAID nutrition project.

Each contractor has a well qualified core staff which will be responsible for assignments. However, they will also utilize intermittent employees and consultants as needed.

4. Contracting

Services of these nutrition IQC contractors can be obtained by Missions by submitting PIO/Ts through their AID/W backstop offices which will forward them to SER/CM/SOD for processing and negotiation of work orders. Regional Bureau backstop officers will consult with DS/N as necessary regarding assignments and selection of contractors. Competition will not be permitted among the IQC contractors for each assignment. DS/N will serve as technical coordinator of these nutrition IQCs and as such will receive copies of all assignment reports and be in a position

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to advise Bureaus and Missions on relative strengths and weaknesses of the firms.

The contracting process is expected to take approximately two weeks from receipt of a PIO/T in AID/W. On occasion, to expedite the process, regional bureau backstop offices will prepare PIO/Ts based on information received from Missions, but this practice should not become routine. Also, in certain cases where Mission or regional bureau funds are not available when needed, DS/N can provide funding for critical IQC assignments as part of its field support services.

Complete procedures for issuing work orders under these and other AID IQCs were described in Ref Bulletin. Please note that PIO/Ts submitted for IQC services are to follow the format outlined in Ref A, utilizing the PIO/T facesheet and substituting the IQC work order format for the usual PIO/T pages 2-5.

Questions regarding the use of these Indefinite Quantity Contractors may be addressed to Robert Pratt, Office of Nutrition, DSB or Missions' regional bureau technical backstop officers.

CHRISTOPHER

Send to List P.

Department of State III.3.d TELEGRAM

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MENT ORGANIZATION; D. SOCIAL SERVICES DELIVERY SYSTEMS;
E. INSTITUTIONAL DEVELOPMENT.

AID/NE/PD/PDS

DRAFTED BY DS/RAD: JHORTH: FAC
APPROVED BY DS/RAD: HHHOBGOOD
DS/RAD: NICHOLSON (DRAFT)
DESIRED DISTRIBUTION

DISCIPLINE 4: FINANCIAL AND BUSINESS MANAGEMENT (TWO SPECIALITIES REQUIRED, INCLUDING AGRIBUSINESS; ALL THREE FIRMS PRESENTED A PROPOSAL). SPECIALITIES: A. FINANCIAL MANAGEMENT (BUDGETING, ACCOUNTING, AUDITING); B. ECONOMIC AND COST/BENEFIT ANALYSIS.

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ASPT ASSP ASSE ASPH ASDP AALA LACA LAEM LACE LASA LACO LADP.LAOR
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AADS CHGT CTR 8SP

3. AVAILABLE FIRMS: DS/RAD IS INTERESTED IN HELPING MISSIONS ACHIEVE OPTIMUM MATCHING OF FIRM TO WORK ORDER. IN ADDITION TO THE SCOPE OF WORK, MISSIONS MAY FIND USEFUL SOME OF THE FOLLOWING INFORMATION ABOUT THESE FIRMS WHICH WAS FURNISHED US IN INTERVIEWS WITH THEM AND IN THEIR TECHNICAL PROPOSALS.

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TO AID PRIN POSTSV

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(A) DEVELOPMENT ASSOCIATES -- THIS TEN YEAR OLD FIRM HAS DONE AID WORK FOR SEVEN YEARS. IT HAS 118 FULL-TIME EMPLOYEES AND BETWEEN 400 AND 500 FULL-TIME CONSULTANTS. HALF OF THE FIRM'S WORK IS DOMESTIC. OF THEIR TOTAL WORK, DOMESTIC AND FOREIGN, HALF IS TECHNICAL ASSISTANCE AND THE OTHER HALF IS TRAINING AND RESEARCH.

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ADM AID

E.O. 12065 N/A

THE FIRM DESCRIBES ITSELF AS ACTION-ORIENTED, CONCERNED

*AGS: NEPD NEPD NETC NEEI NENA NEJL NEEM PPCE PPDR PPB AS
SUBJ: INDEFINITE QUANTITY CONTRACTORS FOR DESIGN AND EVALUATION SERVICES IN DEVELOPMENT ADMINISTRATION; SHORT-TERM TECHNICAL ASSISTANCE SERVICES
REF: AIDTO CIRCULAR A-166

WITH PROBLEM SOLVING AND IMPLEMENTATION. IT STATES THAT ITS BROADLY INTERDISCIPLINARY STAFF LOOKS AT MANAGEMENT SYSTEMS WITH REFERENCE TO THE ADMINISTRATIVE, SOCIAL AND ECONOMIC ENVIRONMENT IN WHICH THE SYSTEM OPERATES. NINE SENIOR DEVELOPMENT ADMINISTRATION SPECIALISTS (FULL-TIME EMPLOYEES) HAVE WORKED AN AVERAGE OF 15 YEARS IN DEVELOPMENT ADMINISTRATION. HALF HAVE THE DOCTORATE. SEVEN FULL-TIME JUNIOR DA SPECIALISTS HAVE AN AVERAGE OF ELEVEN YEARS EXPERIENCE.

1. SUMMARY: THREE CONSULTING FIRMS HAVE SIGNED INDEFINITE QUANTITY CONTRACTS WITH AID TO PROVIDE SHORT TERM SERVICES (UP TO 120 DAYS) IN DEVELOPMENT ADMINISTRATION. THEY ARE DEVELOPMENT ASSOCIATES, MULTINATIONAL AGRIBUSINESS SYSTEMS, INC. (MASI), AND TRITON. DS/RAD OFFERS LIAISON/ INFORMATION SERVICE TO MISSIONS AND BUREAUS IN THE USE OF IQCS IN BOTH DEVELOPMENT ADMINISTRATION AND RURAL DEVELOPMENT, ALONG WITH SERVICES PROVIDED BY DS/RAD PROJECTS AND STAFF.

EXAMPLES OF THE FIRM'S PROJECT EXPERIENCE INCLUDE THE FOLLOWING: EVALUATION OF FEASIBILITY OF MANAGEMENT TRAINING CENTER IN HONDURAS; TECHNICAL ASSISTANCE TO PROVINCIAL UNITS OF THE MINISTRY OF EDUCATION OF PANAMA; EVALUATION OF PROJECT MANAGEMENT ACTIVITIES OF FOUR INTERNATIONAL INSTITUTES OF ADMINISTRATION; EVALUATION OF THE MUNICIPAL DEVELOPMENT BANK OF HONDURAS; DEVELOPMENT OF A COMMERCIAL CONTRACEPTION MARKETING SYSTEM IN EL SALVADOR; STUDY OF A PROPOSAL TO IMPROVE AGRIBUSINESS IN EL SALVADOR; DESIGN OF A SYSTEM TO MEASURE THE ECONOMIC AND SOCIAL CHANGE ATTRIBUTIBLE TO RURAL ELECTRIFICATION IN BOLIVIA; STUDY OF THE ORGANIZATIONAL STRUCTURE OF BOTH A PVO AND AID AND OF THEIR INTERRELATIONSHIP TO RECOMMEND MEANS TO IMPROVE COLLABORATION; CONDUCT OF A TRAINING PROGRAM IN FAMILY PLANNING PROGRAM MANAGEMENT FOR A LARGE NUMBER OF LATIN AMERICAN OFFICIALS. PRESENT WORK INCLUDES THE RURAL SERVICE CENTERS PROJECT IN PHILIPPINES. CENTERS ARE DEVELOPED IN FIFTEEN INTERMEDIATE SIZED CITIES TO IMPROVE THEIR INSTITUTIONAL CAPACITY FOR SOCIAL DEVELOPMENT PROGRAMS IN A WIDE SPECTRUM OF CONCERNS, E.G., WATER SUPPLIES, NUTRITION AND LOCAL REVENUE GENERATION.

2. DEVELOPMENT ADMINISTRATION SERVICES: IQC FIRMS CAN BE USED FOR DESIGN AND EVALUATION; SERVICES TO BOTH DISCRETE DEVELOPMENT ADMINISTRATION PROJECTS AND TO THE ADMINISTRATIVE COMPONENTS OF MULTI-SECTORAL PROJECTS INSTITUTIONAL AND MANAGERIAL ANALYSIS AS WELL AS MANAGEMENT CAPABILITY COMPONENTS HAVE BEEN INCREASINGLY INCLUDED IN USAID PROJECTS IN RECENT YEARS.

THE SCOPE OF WORK USED FOR THE TECHNICAL SELECTION OF DEVELOPMENT ADMINISTRATION IQCS WAS INTENDED TO ADDRESS MISSION NEEDS AS DEFINED BY THE DEVELOPMENT ADMINISTRATION TECHNICAL REVIEW COMMITTEE. THREE DISCIPLINES WERE REQUIRED INCLUDING NUMBER 1:

DISCIPLINE 1: MANAGEMENT TRAINING AND PERSONNEL DEVELOPMENT (TWO SPECIALITIES REQUIRED). DEVELOPMENT ASSOCIATES, MASI AND TRITON PRESENTED PROPOSALS IN THIS DISCIPLINE. SPECIALITIES: A. MANAGEMENT TRAINING; B. TRAINING INSTITUTIONS AND PROGRAMS; C. PERSONNEL SELECTION AND STAFF DEVELOPMENT; D. ORGANIZATION DEVELOPMENT.

(B) MULTINATIONAL AGRIBUSINESS SYSTEMS, INC. -- MASI WAS FOUNDED IN 1970 FOR JOINT VENTURES WITH THIRD WORLD GOVERNMENTS AND ENTERPRISES IN CONSTRUCTION, INVESTMENT AND OTHER ACTIVITIES, CHIEFLY AGRIBUSINESS.

DISCIPLINE 2: MANAGEMENT SYSTEMS DESIGN (THREE SPECIALITIES REQUIRED). MASI CAN ACCESS CONSULTANTS IN THIS DISCIPLINE. SPECIALITIES: A. PERSONNEL; B. BUDGETING; C. REVENUE; D. INFORMATION AND MANAGEMENT INFORMATION; E. LOGISTICS AND PROCUREMENT; F. TAX ADMINISTRATION (SUB-NATIONAL).

THE DEVELOPMENT SERVICES DIVISION OF MASI HAS FREQUENT COMMUNICATIONS WITH 3,500 SPECIALISTS WHO ARE COMPUTER LISTED BY PROFESSION, GEOGRAPHICAL AREA OF SPECIALITY, MINORITY STATUS, LENGTH OF ASSIGNMENT AVAILABILITY AND MINIMUM NOTICE REQUIRED. INDIVIDUALS CAN BE IDENTIFIED AND ASSIGNED ACCORDING TO THESE SPECIFIC QUALIFICATIONS. REFERENCES OF THE LISTED SPECIALISTS ARE CHECKED. THE

DISCIPLINE 3: GOVERNMENT PLANNING AND PROGRAM MANAGEMENT (TWO SPECIALITIES REQUIRED; ALL THREE FIRMS PRESENTED PROPOSALS). SPECIALITIES: A. SOCIAL AND SOCIO-ECONOMIC PLANNING; B. PROGRAM PLANNING AND EVALUATION; C. DEVELOP-

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FIRM TENDS TO USE A SMALLER GROUP OF 200. THE APPROXIMATELY 130 CONSULTANTS IN THIS DIVISION WHO HAVE BEEN ON MOST ASSIGNMENTS IN THE PAST FOUR YEARS REPRESENT A

DEVELOPMENT EXPERIENCE, MANY WITH AID. THIS DIVISION OF THE FIRM CONSIDERS ITS INTEREST AND STRENGTH, IN ADDITION TO QUICK RESPONSE TO REQUESTS, TO BE IN THE ANALYSIS OF CAPACITY FOR PRODUCTION, DESIGN OF PRODUCTION PLANS AND DELIVERY OF TANGIBLE END PRODUCTS. THIS FIRM HAS HAD MORE THAN THIRTY AID CONTRACTS AND WORK ORDERS. THE MAJORITY WERE IN AFRICA AND WERE IN AGRICULTURE AND RELATED RURAL DEVELOPMENT PROJECTS, THOUGH THE LIST SHOWS BOTH SECTORAL AND GEOGRAPHIC DIVERSITY.

(G) TRITON CORPORATION -- TRITON, FOUNDED IN 1976, OPERATES NOW WITH A STAFF OF SIX AND A CONSULTING STAFF OF 27, AND IS GROWING. THE FIRM CONSIDERS ITS STRENGTH AND INTEREST TO BE IN THE IMPROVEMENT OF EXISTING ORGANIZATIONAL STRUCTURES IN AN INTERACTIVE MODE, AND ITS ADMINISTRATION AND MANAGEMENT EXPERTISE TO BE IN SYSTEMS AND PROCEDURES, PROJECT AND PROGRAM MANAGEMENT, INTERNAL CONTROL SYSTEMS, ORGANIZATIONAL DEVELOPMENT, REGULATORY AND POLICY ISSUES ANALYSIS, TRAINING, PLANNING, FINANCIAL PLANNING, MANAGEMENT INFORMATION SYSTEMS, RECRUITMENT, AND CONFERENCE AND SEMINARS. THE FIRM HAD A CONTRACT WITH ANOTHER AGENCY TO ASSIST THE INCORPORATION OF A SMALL BUSINESS DEVELOPMENT PROGRAM INTO THE PROGRAMS OF NATIONAL DEVELOPMENT FOUNDATIONS IN CARIBBEAN COUNTRIES. IT HAS TWO NEW AID IQC WORK ORDERS IN LATIN AMERICA. (A NEW OFFICE FOR HEALTH, INCLUDING HEALTH ADMINISTRATION, IS BEING STARTED.)

THE FIRM'S EXPERIENCE HAS BEEN WITH CONTRACTS IN COMPUTER AND STATISTICS SUPPORT, PROCUREMENT, MINORITY AND SMALL BUSINESS PROMOTION, MINORITY RECRUITMENT, DEVELOPMENT OF HAZARD WARNING SYSTEMS, REVISION AND UPDATE OF METROPOLITAN TRANSPORT SYSTEMS POLICIES AND PROCEDURES, AND TRAINING.

FOR THESE CONTRACTS, THE FIRM HAS PERFORMED THE FOLLOWING SERVICES: DEVELOPMENT OF GUIDELINES/CRITERIA FOR ENFORCING COMPLIANCE; PRODUCTION OF MANUALS; TRAINING AND RELATED SEMINARS; IDENTIFICATION OF PROCUREMENT PRACTICES AND OPPORTUNITIES FOR SMALL BUSINESS PARTICIPATION; DESIGN OF MINORITY RECRUITMENT STRATEGY; RECOMMENDATIONS REGARDING SURETY BONDING; AND THE PROVISION OF COMPUTER AND STATISTICAL SUPPORT.

5. CONTRACTING: MISSIONS CAN OBTAIN SERVICES FROM THESE DEVELOPMENT ADMINISTRATION IQC CONTRACTORS BY SUBMITTING DEVELOPMENT ADMINISTRATION IQC CONTRACTORS BY SUBMITTING

FORWARD THEM TO SER/CM/SOD FOR PROCESSING AND NEGOTIATION OF WORK ORDERS. REGIONAL BUREAU BACKSTOP OFFICERS WILL CONSULT WITH DS/RAD AS NECESSARY REGARDING ASSIGNMENTS AND SELECTION OF CONTRACTORS. THERE WILL BE NO FURTHER COMPETITION BETWEEN IQC CONTRACTORS FOR INDIVIDUAL ASSIGNMENTS UNDER THE IQC MECHANISM.

DS/RAD WILL SERVE AS TECHNICAL COORDINATOR OF THESE DEVELOPMENT ADMINISTRATION IQCS, WILL RECEIVE COPIES OF ALL ASSIGNMENT REPORTS AND EVALUATIONS OF PERFORMANCE, AND WILL BE IN A POSITION TO ADVISE BUREAUS AND MISSIONS ON STRENGTHS AND EXPERIENCES OF FIRMS.

DS/RAD WILL ASSIST SER/CM AND THE USAIOS AND REGIONAL BUREAUS IN THE FAIR DISTRIBUTION OF DEVELOPMENT ADMINISTRATION TASK ORDERS AMONG THE DA IQC FIRMS. VANCE

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Minority Business/Institutions
 Women Owned Business
 Socially or Economically Disadvantaged Business

The Near East Bureau's role in promoting and coordinating the increased utilization of minority, women-owned and socially or economically disadvantaged businesses; and predominantly minority institutions includes the following:

- 1) Meeting and counselling with firms and institutions interested in participating in AID-financed contracts; and disseminating within NE Bureau information concerning these firms and institutions;
- 2) Providing information on AID and the NE Bureau's assistance programs to such business firms and institutions;
- 3) Reviewing planned and on-going NE Bureau projects, and screening PIO/Ts to identify opportunities for small, minority, women-owned and socially or economically disadvantaged firms, and predominantly minority institutions;
- 4) Utilization of set-asides of contract awards to minority and socially or economically disadvantaged firms under Section 8a of the Small Business Act;
- 5) Accumulating and maintaining information and data on capabilities and experience of such firms, as well as their performance under AID contracts; and
- 6) Facilitating the establishment of NE and Agency goals for these categories of contracting.

Federal policy concerning the promotion of women's business enterprise is based upon an Executive Order signed by the President, May 18, 1979. Policy concerning the promotion of grants and contracts to predominantly minority institutions is derived from a Presidential Memorandum dated January 17, 1979 concerning historically black colleges.

For small, minority and socially or economically disadvantaged firms, a statutory program exists. The attached memorandum from the AID Office of Small and Disadvantaged Business Utilization (SDB) explains this program in some detail.

Project managers should make special note that P.D. 68 has been amended to facilitate the choice of an "8a contractor" and that in fact, the time of the contracting process, especially under unique non-competitive procedures, may be considerably shortened utilizing this procedure.

UNITED STATES GOVERNMENT

Memorandum

TO : ALL ACTION LIAISON OFFICERS

DATE: JUN 22 1979

FROM : SDB, Rose Miles Robinson *RMR*

SUBJECT: AID Contracting Through the Small Business Administration
8(a) Program

1. REVISION OF PD-68

The Acting Administrator has approved an amendment which permits a special exception to PD-68 (Host Country Contracting Mode). Under the special exception, Mission Directors may determine that grant or loan financed contracts which, under PD-68, might have been restricted to Borrower/Grantee contracting, would be appropriate for direct AID contracting through the Small Business Administration's 8(a) Program.

2. 8(a) CONTRACTING PROCEDURE

To assist Bureaus, Offices and Missions to better understand the 8(a) Program and its applications to AID financed procurements, EOP/MB, in conjunction with the Small Business Administration, has prepared the attached brief explanation of its more significant points. Copies attached for AID/W offices. Copies for USAID's being pouched.

Questions concerning the 8(a) Program should be addressed to SDB (formerly EOP/MB), ATTN: *, Room 651 SA-14, telephone 235-2274.

* Jerome A. Patterson,
Walter Coles,
Betty Briscoe, or
Dorothy Colbert.



AID CONTRACTING THROUGH THE SMALL BUSINESS
ADMINISTRATION 8(a) PROGRAM

I. INTRODUCTION

The 8(a) Program is a business development program administered by the Small Business Administration (SBA) to assist small businesses owned by socially and economically disadvantaged individuals.

The designation "8(a)" refers to Section 8(a) of the Small Business Act, which permits the SBA to contract with any Federal Agency on a non-competitive basis, to provide goods and services. The SBA is also required by the Act to subcontract with 8(a)-approved minority and other socially and economically disadvantaged businesses for the actual performance of the contract. The subcontracting arrangement permits control and overview by the SBA to ensure that 8(a) firms progress toward accomplishment of individual business development plans formulated with the SBA.

The term "socially and economically disadvantaged," defined in Section II.C, in and of itself, bears no relationship to the technical capabilities of individuals or firms so designated.

While most participants in the 8(a) Program are minority firms, the Program does not exclude non-minorities, and some of the 8(a) firms which do business with AID are not minority-owned.

II. DEFINITIONS

A. Minority Business Enterprise

The Federal Procurement Regulations define Minority Business Enterprises as follows:

A business at least 50% of which is owned by minority group members or, in case of publicly owned businesses, at least 51% of the stock of which is owned by minority group members.

Existing definitions of minorities specifically mention Black Americans, Hispanic Americans, Native Americans, American Orientals, and Asian Americans.

B. Small Business Enterprise

The definition varies depending upon the nature of the business. (See FPR 1-1.7).

Since AID deals mostly with small businesses providing professional services, a generally applicable definition is:

A firm which is independently owned and operated, is not dominant in the field of operation in which it is bidding on Government contracts and whose average annual receipts for its preceding three fiscal years do not exceed \$2 million.

As a rule, the question of a firm's size will not arise in relation to AID's involvement with the 8(a) Program, since the SBA determines the Small Business status of the firm before admitting it into the 8(a) Program.

C. Socially and Economically Disadvantaged

There are separate definitions for concerns and individuals. The following is from the Small Business Act as amended by P.L. 95-507.

1. Socially and economically disadvantaged Small Business Concern: ...any small business concern (a) which is at least 51 percentum owned by one or more socially and economically disadvantaged individuals; or, in the case of any publicly owned business, at least 51 percentum of the stock of which is owned by one or more socially and economically disadvantaged individuals; and (b) whose management and daily business operations are controlled by one or more such individuals.
2. Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities.

3. Economically disadvantaged individuals are those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged.

It is re-emphasized that inference about the technical capabilities of 8(a) firms should not be drawn from the designation "socially and economically disadvantaged".

III. PROCEDURE FOR USING THE NONCOMPETITIVE PROVISION OF SECTION 8(a) TO AWARD (SUB) CONTRACTS TO MINORITY-OWNED BUSINESSES*

- A. Keep in mind, at the project design stage, that most minority firms are small firms, and assure that projects are not designed so as to exclude them. Projects which can be performed by small businesses should be identified by the Technical Office.
- B. Identify a minority 8(a) participant competent to perform the required services. This identification can be effected in several ways:
 1. A firm can be proposed by the Mission or AID/W Technical Office, based on prior knowledge of the firm's capabilities.
 2. The Contractor's Index maintained by SER/CM/SB can be searched.
 3. EOP/MB's files of minority firms and their capability statements can be consulted.
 4. The SBA and other agency files can be searched through EOP/MB.

Technical officers are encouraged to make direct use of Agency files. When this is impossible or is otherwise impractical, assistance may be requested from EOP/MB. Please make certain, however, that when such assistance is requested from EOP/MB, the requirement is stated in sufficient detail to permit an accurate search.

*A similar procedure is followed when the intent is to make an award to any other category of 8(a) participants.

- C. Once a potential contractor is identified, the mission or AID/W Technical Office, as appropriate, requests the Contracting Officer (in the PIO/T) to negotiate a contract with the firm through the SBA.
- D. The Contracting Officer formally offers the contract to the SBA in writing, naming the firm desired by the Technical Office. (In some Cases, the SBA will informally accept the offer via telephone, with the understanding that a confirming letter from AID will follow).
- E. Unless the SBA determines that the firm has exceeded its annual business development goal, it usually accepts the proposed contract and contractor.
- F. The Contracting Officer solicits a proposal from the selected firm, to be evaluated by the Technical Office.
- G. Even though the resulting prime contract is between AID and the SBA, with prior clearance on a case-by-case basis, the SBA usually permits direct negotiations by AID with the 8(a) firm. Thus, following evaluation and acceptance of the proposal by the Technical Office, the Contracting Officer negotiates the contract with the 8(a) participant, with the SBA entering into the contract formally when the negotiation is concluded.

Unlike a Small Business Set-aside, which requires competition among all small businesses, 8(a) awards are not advertised and generally are not competed. However, as with Small Business Set-asides, a proposed contract can be reserved in advance for the 8(a) Program even though the Mission or AID/W Technical Office may not have a particular 8(a) contractor in mind, provided it is reasonably certain that there is at least one 8(a) firm with the required capabilities.

IV. AID MISSION AND HOST COUNTRY CONTRACTING

AID Missions can arrange that Mission-let direct AID contracts be through the 8(a) Program.

The 8(a) procedure is not applicable to Host Country Contracting. However, a special exception to PD 68 (Handbook 11, Chapter 1, paragraph 2 "Rules") permits

Mission Directors to determine that particular grant or loan financed contracts which might otherwise have been restricted to Borrower/Grantee contracting, be let through the 8(a) Program as direct AID contracts.

The purpose of the exception is to allow AID to continue its efforts to expand participation by minority and other socially and economically disadvantaged business enterprises in AID-financed activities.

V. COMPETITION AMONG 8(a) CONTRACTORS

Basically the 8(a) Program is non-competitive. That is to say, the using agency may select (or request SBA's referral of) a single firm with no requirement to consider other firms. An exception, which the SBA sometimes permits, however, is technical competition of up to three or four firms. Costs are subsequently negotiated by the Contracting Officer with the selected firm and approved by SBA.

The contracting procedure is basically the same as described in paragraph III for an individual firm, and similarly, proposals may not be solicited nor may negotiations be conducted without SBA's concurrence in the choices of firms to be competed. The Contracting Officer requests such agreement from the SBA following receipt of a PIO/T from the Technical Office.

In the interest of minimizing costs to the firms, the SBA prefers that every effort be made to narrow the field of competition by interviews and other informal means prior to requesting written proposals.

VI. TIME REQUIRED TO OBTAIN A CONTRACTOR THROUGH THE 8(a) PROGRAM

It takes an average of 60 days from the time the Contracting Officer receives the PIO/T for a non-competitive award to the time the contract is signed. Additional time may be required depending on the complexity of the contract to be negotiated, the need for an audit or other unavoidable factors. In any event, a considerable amount of time is saved by not having to advertise.

If for some reason AID is unable to satisfactorily negotiate an agreement with the selected 8(a) firm, the Contracting Officer notifies the SBA and AID, is free to

either choose another 8(a) participant or to revert to competitive procurement or any other contracting procedure provided by the regulations.

VII. SBA POLICY ON ADVERTISING TO ATTRACT PROSPECTIVE 8(a) CONTRACTORS

The SBA Business Development Program does not provide for advertising, and generally the SBA will not accept a contract if the requirement has been advertised.

VIII. ASSURANCE OF CAPABILITY - SBA CERTIFICATE OF COMPETENCY

The SBA does not issue certificates of competency for 8(a) firms, on the grounds that SBA's willingness to accept the contract is predicated on its certainty that the prospective (sub)-contractor has the capability to perform. Beyond this, AID should take the same steps to assure itself of the 8(a) firm's abilities as it does those of any other contractor.

IX. SBA LIABILITY

It is SBA policy to provide technical assistance to an 8(a) contractor if it is determined that the firm is having difficulties performing the contract. The SBA does not accept financial responsibility nor can it guarantee performance. However, it will make every effort to support the (sub)-contractor with technical assistance necessary for proper performance.

The SBA has advised AID that it has not yet had to terminate a minority 8(a) professional service contract.

X. EOP/MB'S ROLE IN THE 8(a) PROCESS

EOP/MB assists Technical Offices and AID Missions to identify appropriate 8(a) contractors. It also assists prospective minority contractors to contact Technical Offices which may have an interest in their skills.

In addition, the Minority Business Program staff is in regular contact with the SBA and keeps AID current on legislation and policies concerning the 8(a) Program.

XI. PREFERENCE TO EXISTING 8(a) FIRMS

Last year the SBA began requiring 8(a) applicant firms, as a pre-condition of their acceptance into the 8(a) Program and as a demonstration of their viability, to identify reasonable and fairly immediate prospects of work with one or more Federal agencies. One effect of this policy is to enable user-agencies to consider the technical capabilities of such firms and consistent with all applicable procurement regulations identify work which could reasonably be expected to be directed to these firms upon their acceptance in the 8(a) Program.

The SBA advises, however, that this policy notwithstanding, when there is a firm already in the 8(a) Program which is capable of performance against a requirement, that firm should be given preference over an 8(a) applicant firm.

QUESTIONS AND ANSWERS ON THE

SBA 8(a) PROGRAM

HOW CAN I CONTRACT WITH A MINORITY PARTICIPANT IN THE
8(a) PROGRAM?

A. Assure that projects are not written so as to exclude small businesses which, so far, most minority firms are.

B. Projects which can be performed by small businesses should be identified.

C. Identify a competent minority 8(a) participant. This identification can be effected in several ways:

1. A firm can be proposed by the Technical Office based on prior knowledge of the firm's capabilities.
2. SER/CM/SB can be requested to search the Contractor's Index based on stated capability requirements.
3. The SBA can be requested (through EOP/MB) to suggest a firm based on the proposed scope of work.

D. Once a potential contractor is identified by the Technical Office, request the Contracting Officer (in the PIO/T) to negotiate a contract through the SBA.

E. The Contracting Officer offers the contract to the SBA in writing, naming the firm desired by the Technical Office.

F. Unless SBA feels that the firm has already exceeded its program goals, SBA generally agrees to the proposed contract.

G. The Contracting Officer proceeds to (informally) solicit a proposal from the selected firm.

H. Following evaluation and acceptance of the proposal by the Technical Office, the Contracting Officer negotiates the contract with the 8(a) participant, with the SBA entering into the contract formally when the negotiation is concluded.

DO WE HAVE TO COMPETE 8(a) CONTRACTORS?

No. Basically the 8(a) Program is non-competitive.

Under certain circumstances SBA permits limited competition between 8(a) firms if requested by AID. However, they do not encourage it as part of their program and they do ask that the Contracting Officer clear any proposed competition with them before discussing it with the 8(a) firms.

WHAT IF WE CANNOT COME TO AN AGREEMENT WITH THE 8(a) FIRM WITH WHICH WE HAVE BEEN NEGOTIATING?

We are free to follow whatever contracting procedure is permitted by the regulations, including notifying the SBA and selecting another 8(a) participant.

III.5

Information for Offerors -

Unsolicited Proposals for AID

AID encourages the submission of unsolicited proposals which contribute new ideas consistent with and contributing to the accomplishment of AID's objectives. However, the requirements for contractor resources are normally quite program specific, and thus widely varied, and must be responsive to host-country needs. Further, AID's projects are usually designed in collaboration with the cooperating country. These factors can limit both the need for, and AID's ability to use unsolicited proposals. Therefore, prospective offerors are encouraged to contact AID technical personnel to determine AID's mission and needs as related to the offerors proposals before preparing and submitting a formal unsolicited proposal. AID's policies and procedures for unsolicited proposals are established in Subpart 1-4.9 of the Federal Procurement Regulations (FPR) and Subpart 7-4.9 of the AID Procurement Regulations (AIDPR). The following information concerning AID's policies and procedures on unsolicited proposals is presented for your use:

1. Contact Points Within AID

(a) For general information, Department of State, AID, Washington, D.C. 20523, Attention: SER/CM/SB, Room 601 PP.

(b) For research proposals, Department of State, AID, Washington, D.C. 20523, Attention: DS/RES, Room 813 RPG.

2. Definitions

(a) An "unsolicited proposal" is a written offer to perform a proposed task or effort, initiated and submitted to the Government by an offeror without solicitation by the Government, with the objective of obtaining funding. Advertising material, commercial product offerings, contributions, or technical correspondence as defined in paragraphs (b) through (e) below, will not be considered as unsolicited proposals.

(b) "Advertising material" is material designed to acquaint the Government with an offeror's present off-the-shelf products or potential capabilities, or material designed to determine the Government's interest in buying such products. Such materials should be submitted directly to whatever AID project office the offeror believes might have an interest in the material. There is no central point in AID for the receipt of such material, since its submission is not encouraged.

(c) "Commercial product offerings" are offers of standard commercial products, usually sold in substantial quantities to

shall have the right to duplicate, use, or disclose the data to the extent provided in the contract. This restriction does not limit the Government's right to use information contained in the data if it is obtainable from another source without restriction. The data subject to this restriction is contained in Sheets _____."

The offeror also shall mark each sheet within the proposal which he wishes to restrict, with the following legend:

"Use or disclosure of proposal data is subject to the restriction on the title page of this Proposal."

An unsolicited proposal shall be returned to the offeror if it is marked with different legends than those provided above.); (5) names of any other organizations receiving the proposal and/or funding the proposed effort and activity; (6) date of submission; and (7) signature of an authorized representative of the offeror, authorized to contractually obligate the offeror.

(b) Technical information: Based on prior technical correspondence or informal inquiries regarding Agency program needs and requirements, (1) A concise title and an abstract (approximately 200 words) of the proposed effort; (2) a reasonably complete discussion of the objectives of the effort or activity, the method of approach and amount of effort to be employed, the anticipated results, and how the work will accomplish AID's mission; (3) the names and brief biographical information on the offeror's key personnel (including alternates, if desired), who would be involved; and (4) the type of support, if any, the offeror requests from AID; e.g., funds, facilities, equipment, materials, or personnel resources.

(c) Supporting information: (1) The proposed funding or total estimated cost; (2) a cost estimate or budget for the proposed effort sufficiently detailed by elements of costs for meaningful evaluation; (3) the type of agreement contemplated; (contract, grant, etc.), (4) period of time for which the proposal is valid (NOTE: Unsolicited proposals should be submitted well advance of the date the proposed effort or activity is intended to begin, in order to allow AID sufficient time to evaluate the proposal and negotiate any resultant agreement. A minimum of 6 months is suggested.); (5) proposed duration of effort; (6) if applicable, statements regarding cost sharing, (see para. 6, "Cost sharing", below), organizational conflicts of interest (see para. 5, "Organizational Conflicts of Interest" below), security clearance status, and environmental impact; (7) brief descriptions of the offeror's previous work or experience in the field of the proposal; and (8) facilities to be utilized for the work.

(d) The proposal shall contain a signed statement from an

permit meaningful evaluation, as specified in para. 3, above; and (2) Has been approved by a responsible representative of the offeror authorized to contractually obligate the offeror.

(b) If the document does not meet these requirements, the offeror shall be given the opportunity to provide the required data. A comprehensive evaluation of an unsolicited proposal need not be made if the proposal is not within AID's mission. In such cases, the offeror shall be furnished a prompt reply, stating how the document is being interpreted by AID, the reason(s) for not evaluating it, and the disposition or intended disposition of the material submitted. AID shall not deny reconsideration of a timely and appropriately revised or supplemented proposal which is responsive to such an initial determination.

(c) In evaluating an unsolicited proposal AID shall also consider the following:

(1) Unique, innovative, or meritorious methods, approaches, or ideas which originated with, or were assembled by the offeror;

(2) Overall scientific, technical, or socio-economic merits of the proposed effort or activity;

(3) Potential contribution which the proposed effort is expected to make to AID's specific mission, if pursued at this time.

(4) Capabilities, related experience, facilities, or techniques, or combinations thereof, which the offeror possesses and offers, which were considered to be integral factors for achieving the objective(s) of the proposal.

(5) Qualifications, capabilities, and experience of the proposed principal investigator, team leader, or other personnel considered to be critical in achieving the objectives of the proposals.

(d) A favorable comprehensive evaluation of an unsolicited proposal is not, in itself, sufficient justification for negotiating on a noncompetitive basis with the offeror. When a document qualifies as an unsolicited proposal, but the substance (1) is available to the Government without restriction from another source, or (2) closely resembles that of a pending competitive solicitation, or (3) is otherwise not sufficiently unique to justify acceptance; then the unsolicited proposal shall not be accepted and the proposal shall be returned to the offeror together with the reasons for the return. The Agency will not use all or any part of an unsolicited proposal as the basis, or as a portion, of a solicitation, or in negotiation with other firms unless the offeror is notified and agrees to the intended use.

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

AID/W NOTICE
January 16, 1978
FM

SUBJECT: Approval for Consultants to Work

The FY 1978 appropriation legislation set a limitation of \$700,000 for the payment of direct hire consultants. Of this amount, a ceiling of \$100,000 was set to cover payments to consultants who are AID retirees. In order to be sure that the Agency does not go over either of these ceilings, the following additional control is being established effective immediately.

Prior to bringing a direct hire consultant to work, but after the normal processes are completed (that is, consultant days received from SER/MP, Notification of Personnel Action processed by the Office of Personnel and Training (OPT), etc.), a request for specific number of hours to be worked during a specific time period must be sent to FM/ESD. The consultant cannot be called in to work until an approval is received from FM/ESD certifying that the hours approved, when paid, will not cause AID to exceed its legislative dollar ceiling. No consultant who works without having the time approved in advance will be paid!

A formal request should be prepared (see format attached) covering a time period of either 60 calendar days or a period during which the consultant will be working more or less continuously, whichever is the lesser. This request must include the Consultant's name and Social Security number (as they appear on the Notification of Personnel Action); the number of work hours being requested; the time period during which the work will be performed; the approved rate of pay; the type of U.S. Government annuity (Civil Service, Foreign Service, None); and if the Consultant retired from AID. There must also be a statement indicating that the days making up this request are within the limitations set forth by SER/MP and OPT. This request should be signed by someone at a level no lower than an Office Director. In the case of overseas missions, the appropriate bureau should submit the request for any consulting work a mission requires.

Upon receipt of this request, the Employee Services Division, FM, will calculate the cost to the Agency (including employer portion of FICA contributions) and compare the total with the remaining balance available under the ceiling. If this request will not result in exceeding the established ceiling, it will be approved and returned to the Requesting Official with copies for the Consultant and Timekeeper. If it cannot be approved in total, the Requesting Official will be so advised.

REQUEST AND AUTHORIZATION TO WORK
AID CONSULTANT

PART I Request to Work

I hereby request _____ consultant work hours to accomplish work in accordance with the consultant justification previously approved by AA/SER. This work is to be performed by _____,

Name of Consultant

_____ for the period _____ through _____.

Social Security No. _____
The approved rate of pay for this consultant is \$ _____ per day.

This consultant is (AID Retiree, Civil Service Annuitant, Foreign Service Annuitant, None).

The days making up this request are within the approved office limitation as received from SER/MP and the limitation for the consultant as stated on the Notification of Personnel Action.

Signature of Requesting Official

PART II Authorization To Work

In accordance with the above request, I hereby authorize this consultant to work not to exceed _____ hours within the period of time noted above. The payment for these hours worked will not cause AID to exceed the \$ _____ statutory limitation in AID's FY 1978 appropriation legislation. FM/ESD must be advised immediately of any hours hereby authorized which will not be used.

Signature of Authorizing Official

Copies to: FM/ESD
Supervisor
Timekeeper
Consultant

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

DEC 19 1979

III.6.b.

MEMORANDUM FOR ASSISTANT ADMINISTRATORS, HEADS OF OFFICES, AND MISSION DIRECTORS

SUBJECT: Utilization of Experts and Consultants

Our current agreement signed August 9, 1977 with the Civil Service Commission (now the Office of Personnel Management) which continues in effect until August 1, 1980, permits the Agency to employ experts and consultants without OPM's prior approval in individual cases, but subject to post audit.

The agreement requires that A.I.D. communicate at least annually, in writing, with all Agency managers in Washington and overseas about A.I.D. and OPM policies, regulations, and procedural requirements to ensure that managers fully understand the proper use of experts and consultants.

1. Policy and Regulation: Agency regulations for the utilization of experts and consultants are contained in A.I.D. Handbook 25, Chapter 14. This Chapter has been revised and reissued on October 15, 1979. Consultants and experts are appointed to provide specialized advice and services involving Agency problems, policies, or operational functions when the necessary expertise is not readily available within the Agency, from other Federal agencies, or when an outside point of view is needed. The services of consultants and experts are utilized only on an intermittent or temporary basis. They may not be utilized to fill what are essentially full time continuing positions. Duties, responsibilities, and occupational assignments which are of a continuing nature are not proper consultants/expert assignments and must be performed by regular direct-hire employees. For this reason, consultants and experts are not normally appointed for more than 130 days during a service year.

Normally a retired former A.I.D. employee is not appointed as an expert or consultant within 60 days of separation. A former A.I.D. employee may not be employed as a consultant or expert when a substantial portion of the proposed duties are to evaluate, advise on, or carry out functions on which he or she worked prior to retirement or separation.

2. Mission, Bureau, Office Responsibility: Before requesting the appointment of an expert or consultant, managers should consider alternative manpower resources such as: (1) possible detail of full or part-time (GS or FSR) employees, (2) establishing a temporary ceiling and filling with a time-limited appointment in the Civil Service, (3) utilizing a reemployed annuitant, (4) determining

whether a personal services contract or other contracting authority may be appropriate, etc. These alternatives may be more appropriate when the nature of the work or function to be performed does not lend itself to the use of the consultant/expert authority.

When it has been determined that the use of the expert/consultant authority is appropriate, the requesting Bureau/Office must insure that the person does not work prior to the date that all administrative requirements are met, including completion of security clearance, conflict of interest clearance, approval from higher level authorities within the Agency and the subsequent appointment of the individual concerned.

Once a consultant/expert is sworn in, it is the using organization's responsibility to insure that the person is employed only to perform those duties for which the appointment is authorized. If other assignments are subsequently necessary, then a new or amended authorization must be completed and approved prior to the assignment and performance of such duties.

3. Office of Financial Management (FM) Responsibility: Prior to a consultant or expert reporting for work, but after the normal processes are completed (that is, notification by FM/BUD that consultant days are within limitations previously authorized and the Notification of Personnel Action processed by the Office of Personnel Management (PM), the appropriate Bureau, Office or Mission will submit to FM/ESD a request for the specific number of hours to be worked during a specific time period. The consultant cannot be called in to work until an approval is received from FM/ESD certifying that the hours approved, when paid, will not cause A.I.D. to exceed its legislative dollar ceiling. No consultant who works without having the time approved in advance will be paid!

We will continue to utilize the same procedures as last year for experts and consultants; that is, once a block of man-days has been authorized, the expenditure of these man-days will be left to the discretion of the employing office. Each Bureau/Office must insure that the total number of work days does not exceed the total work days authorized by FM in their approved annual plan. OPM will continue to audit expert and consultant appointments to insure compliance with OPM and A.I.D. requirements and standards. Such review will serve to verify propriety of appointment and use of expert and consultant services, and the adequacy of established controls.

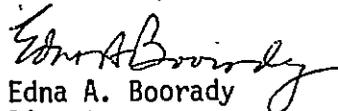
Our interest is to assure that appointments comply with Federal Personnel Manual requirements, A.I.D. regulations and our agreement with OPM. Violations may prompt the OPM to revoke the Agency's agreement and our authority to appoint experts and consultants without prior approval. I am sure that you will agree with me that we should take those steps which are necessary to avoid jeopardizing the flexibility we have under the agreement.

In addition, the proper use of experts and consultants is of interest to our employees and to their Exclusive Representatives. Hence it is impor-

tant from a labor relations standpoint that Agency management carefully observe the policies, regulations and procedures for such employment.

In view of the importance of controlling our operating expenses, it is imperative that all Bureaus and Offices cooperate in monitoring the number of consultants and experts' man-days allocated to them to insure that the Agency stays within the statutory limitation for their services.

PM has prepared a paper called "Information for Experts and Consultants" which is intended to provide such employees and their supervisors important information about which they should be aware, including the limitation on the number of days they work, the Agency's policy on appointments, leave, rates of pay, etc. For your additional information, a copy of that paper is attached to this memorandum.



Edna A. Boorady
Director
Office of Personnel Management

Attachment:

Information for Experts
and Consultants

INFORMATION FOR EXPERTS AND CONSULTANTS

Terms and conditions of appointment as an expert or consultant are set forth in AID Handbook 25, Chapter 14, "Experts and Consultants". For the benefit of the employees, some of the most commonly sought information has been summarized below. If additional information or elaboration on the points covered below is needed, the employee should refer to Handbook 25, Chapter 14 or, if necessary, contact the supervisor or the Civil Service Personnel Division.

Policy

The services of consultants and experts are utilized on an intermittent or temporary basis. They are not utilized to fill what are essentially continuing positions. For this reason, consultants and experts (with few exceptions) are not utilized for more than 130 days during a service year.

Intermittent employment means occasional or irregular employment on programs, projects, or problem requiring intermittent service. When an intermittent expert or consultant works more than 130 days in a service year, employment automatically ceases to be intermittent and becomes temporary, and the expert or consultant normally is not eligible for reappointment.

Limitation on Days Authorized

Each expert or consultant appointment has a specific number of days of employment authorized as indicated on the personnel action (SF-50) which effected the appointment. Employees who perform services in excess of the stated limitations are not entitled to salary for the excess. It is a responsibility of the employee, as well as the supervisor, to insure that the number of workdays authorized is not exceeded. A day worked is defined as any complete or partial day of service for which the employee is paid.

Dual Compensation

A. The International Development and Food Assistance Act of 1977 was passed August 3, 1977 and amended Section 626(b) of the Foreign Assistance Act of 1961, as amended by deleting the provision which exempted AID from laws governing the simultaneous receipt of compensation and government retired pay or annuity.

Civil Service annuitants employed as consultants and experts are affected in that the annuitant's total daily compensation (annuity plus pay) may not exceed the daily rate of compensation authorized by the Agency to be paid to that consultant and expert.

Foreign Service annuitants employed as experts and consultants will be covered by Section 872 of the Foreign Service Act of 1946, as amended which provides that the annuity plus compensation of an expert or consultant can not exceed during any calendar year the basic salary the individual was entitled to receive on the date of retirement.

B. Retired members of the uniformed services employed by A.I.D. as consultants or experts draw full compensation from A.I.D. The finance center of the services concerned determines what deductions, if any, are to be made from the member's retired pay upon receipt of the AID personnel action effecting the appointment. The deductions, if any, are to be made from the member's retired pay upon receipt of the AID personnel action effecting the appointment. The deduction varies depending upon such things as the type of appointment (intermittent, full-time), length of appointment, and whether the officer was retired for disability.

Rate of Pay

Consultants and experts are compensated at rates not in excess of the maximum rate for GS-15. Daily rates at less than the maximum are set in multiples of \$5.00. The employee is paid for days worked and for official travel during scheduled workdays. If an expert or consultant is employed for a partial day, then pay is computed on a pro rata basis for the actual hours worked, unless it can be determined that the normal business or activity of the expert or consultant was substantially precluded by the performance of A.I.D. work.

The rate paid to an expert or consultant is determined by considering such factors as the level of the assignment, the qualifications of the appointee, and the rate of pay he or she ordinarily commands for full-time employment and for consultant or expert services.

Overtime Pay

Consultants and experts are not entitled to overtime pay.

Post Differential

Consultants and experts assigned or detailed to an overseas post may be eligible for payment of post differential.

Compensation for Occupational Illness or Injury

Consultants and experts who incur an illness or injury in the course of official duties or official travel may be eligible for Federal Employees' Compensation benefits.

Per Diem in Lieu of Subsistence

In addition to the basic daily rate of pay, a consultant or expert may be paid travel expenses and per diem in lieu of subsistence. Such payments are authorized for each day the consultant or expert is required to be away from the commuting area of his or her home or regular place of business. Payment is made at the maximum applicable rate set forth in the Standardized Government Travel Regulations (SGTR), unless a lower rate is prescribed in the travel order.

Leave

Only consultants and experts with a regularly established tour of duty earn sick and annual leave. The appointment action must specify the tour of duty.

Retirement or Social Security Coverage

Under AID Handbook 25, "Employment and Promotion", Chapter 14, consultants and experts are covered by Social Security when the employee:

(a) has no prior Federal service under the Civil Service Retirement Act, or

(b) is presently drawing Civil Service Retirement annuity, or

(c) has a break in Federal service of more than three days.

Former government employees employed as consultants and experts are covered by the Civil Service Retirement Act only when they have a break in service of three calendar days or less and were previously covered by the Civil Service Retirement Act.

Foreign Service annuitants are covered by Social Security in all cases.

Life Insurance and Health Benefits

Consultants and experts are not eligible for group life insurance or health benefits coverage unless previously covered and are employed on a regular tour of duty following, without a break in service of more than three (3) calendar days.

Political Activity Restrictions

A. Employees with Regular Tour of Duty:

Consultants and experts who have a regular established tour of duty are subject to the political activity restrictions of Section 9(a) of the Hatch Act (5 U.S.C. 118 (1)).

B. Intermittent Employees:

Consultants and experts employed on an intermittent basis are subject to the political activity restrictions cited above while in an active duty status. For this purpose "active duty status" covers the full 24 hours of any day on which the individual performs some services for the Federal Government.

UNCLASSIFIED
Department of State III.7.

OUTGOING
TELEGRAM

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APPROVED BY SER/CM: H L DWELLEY
LAC/DR: V CHANDLER (PHONE)
DAA/SER: JF OWENS (DRAFT)
DS/XII&UR: C BARKER (PHONE)
SER/MP/TWO: F ALLEN (PHONE)
ASIA/EMS: K HARLEY (PHONE)
NE/EMS: E VINSON (PHONE)
AFR/EMS: R ODOM (PHONE)
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TAGS:

SUBJECT: COLLABORATIVE ASSISTANCE PROCEDURES FOR HOST
COUNTRY CONTRACTS WITH AMERICAN EDUCATIONAL INSTITUTIONS

1. THIS TELEGRAM PROVIDES INTERIM GUIDANCE CONCERNING THE
COLLABORATIVE ASSISTANCE PROCEDURE FOR HOST COUNTRY CON-
TRACTS UNTIL THE HANDBOOK 11 CHAPTER COVERING COUNTRY CON-
TRACTS WITH EDUCATIONAL INSTITUTIONS AND INTERNATIONAL
RESEARCH CENTERS IS ISSUED.

2. THE COLLABORATIVE ASSISTANCE PROCEDURES FOR AID DIRECT
CONTRACTS ARE SET FORTH IN SECTION 7-4.58 AND APPENDIX H
OF THE AID PROCUREMENT REGULATION (AIDPR), AID HANDBOOK 14.
ON JANUARY 19, 1977, THE DEPUTY ADMINISTRATOR APPROVED THE
RECOMMENDATION OF THE EXPERT WORKING GROUP ON PROCUREMENT
THAT COLLABORATIVE ASSISTANCE SHALL BE RECOGNIZED AS ALS
SUITABLE FOR HOST COUNTRY CONTRACTS WITH AMERICAN
UNIVERSITIES.

3. UNTIL THE HANDBOOK 11 CHAPTER IS ISSUED, THE AIDPR MAY
BE USED FOR GUIDANCE AND ADAPTED AS APPROPRIATE WHEN A
COLLABORATIVE ASSISTANCE RELATIONSHIP WITH AN AMERICAN
UNIVERSITY UNDER A HOST COUNTRY CONTRACTING ARRANGEMENT IS
DESIRED; VANCE

used in the manufacture of these commodities between Lebanon, TN, on the one hand, and, on the other, points in NO NY, CT, PA, MA, ME, TX, LA, AR, NJ, DE, OH, WV, VA, KY, SC, GA, FL, MS, OK, and AL. (Hearing site: Nashville or Memphis, TN.)

MC 149368F, filed February 11, 1980. Applicant: EQUIPMENT TRANSPORT COMPANY, DIVISION OF W. D. LARSON COMPANIES, LTD., INC., 10700 Lyndale Avenue South, Bloomington, MN 55420. Representative: Samuel Rubenstein, P.O. Box 5, Minneapolis, MN 55440. Transporting (1) *salt and salt products*, and (2) *materials and supplies* used in the agricultural, water treatment, food processing, wholesale grocery and institutional supply industries, in mixed loads with salt and salt products, from facilities of Morton Salt Co. at Saltair, UT, to points in ND, SD, and MN. (Hearing site: Minneapolis or St. Paul, MN.)

Note.—Dual operations may be involved.

MC 149359F, filed February 11, 1980. Applicant: H.A.D., INC., 702 East 21st Street, Suite 2, Wichita, KS 67214. Representative: Michael J. Ogborn, P.O. Box 82028, Lincoln, NE 68501. Transporting *meats, meat products, and meat by-products, and articles distributed by meat packinghouse* as described in Sections A and C of Appendix I to the report in *Descriptions in Motor Carrier Certificates*, 61 M.C.C. 209 and 766 (except hides and commodities in bulk), from the facilities of MBPXL Corporation at or near Dodge City, KS to points in the US (except AK and HI), restricted to traffic originating at the named origin (Hearing site: Wichita, KS.)

MC 149378F, filed December 26, 1979. Applicant: KIRBY TRANSPORT, INC., P.O. Box 17, Gilberts, IL 60136. Representative: Miles L. Kavaller, 315 S. Beverly Dr., Suite 315, Beverly Hills, CA 90212. Transporting (1) *Heating equipment*, and (2) *materials and supplies* used in the manufacture and installation thereof (except in bulk) from points in CA and TX to New Orleans, LA, and points in AZ, CA, FL, and TX.

Note.—Dual operations may be involved.

MC 149379F, filed January 31, 1980. Applicant: LARAME LEASING & TRUCKING LIMITED, 107 Manitow Drive, Kitchener, Ontario Canada N2C1L4. Representative: Edwin M. Snyder, 22375 Haggerty Road, P.O. Box 400, Northville, MI 48167. *Contract carrier, transporting lumber and lumber products* between ports of entry on the international boundary line between the United States and Canada, on the one

hand, and, on the other, points in the United States (except AK and HI), continuing contract(s) with Sinclair Lumber Company, Inc., of Laurinburg, NC. (Hearing site: Chicago, IL, or Washington, DC.)

Note.—Dual operations may be involved.

MC 149388F, filed February 11, 1980. Applicant: FEPCO TRUCKING, INC., 3458 Moreland Avenue, Conley, GA 30027. Representatives: Archie B. Culbreth and John P. Tuoker, Jr., Archie B. Culbreth, P. C., Suite 202, 2200 Century Parkway, Atlanta, GA 30345. Transporting (1) *washing powder and liquid washing compound* (except in bulk, in tank vehicles) from the facilities of Time Chemical, Inc., and Custom Spray Products, Inc., at or near Atlanta, GA, to those points in the United States in and east of MN, IA, KS, OK, and TX, and (2) *materials, equipment and supplies* used in the manufacture and distribution of washing powder and liquid washing compound (except in bulk, in tank vehicles), in the reverse direction (Hearing site: Atlanta, GA.)

Note.—Dual operations may be involved.

MC 150008 (Sub-1F), filed February 11, 1980. Applicant: KUELLA INCORPORATED, Route 2, King City, MO 64463. Representative: Lee Reeder, 1221 Baltimore Ave., Suite 310, Kansas City, MO 64105. *Contract carrier, transporting hides*, (1) from St. Joseph, MO, to Berwick, ME, and (2) between St. Joseph, MO, and Kansas City, KS, under continuing contract(s) with Prime Tanning Co., Inc., of St. Joseph, MO. (Hearing site: Kansas City, MO.)

MC 150089 (Sub-1F), filed February 8, 1980. Applicant: THOMAS TUFNELL, JOSEPH TUFNELL AND ARTHUR RUPERT, a partnership d.b.a. T & R TRUCKING CO., Route 2, P.O. Box 268D, Escanaba, MI 49829. Representative: Michael S. Varda, 121 South Pinckney St., Madison, WI 53703. Transporting (1) *pellets, pallet ports, and wood chips*, from Escanaba, MI, to points in IL, IN, IA, and WI, and (2) *equipment, materials, and supplies* used in the manufacture and distribution of the above-named commodities in the reverse direction, under continuing contract(s) with Lakestate Industries, Inc., of Escanaba, MI. (Hearing site: Green Bay, WI, or Chicago, IL.)

Agatha L. Mergenovich,
Secretary.

{FR Doc. 80-10502 Filed 4-7-80; 8:43 am}
BILLING CODE 7035-01-M

INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
Agency for International Development

Change in Policy on Nationality Eligibility for A.I.D.-financed Contracts for Services.

Summary

In March 1978, A.I.D. issued a change in its policy regarding the nationality of firms and individuals eligible to receive contracts for services financed under the Foreign Assistance Act of 1981, as amended. The principal change was the elimination of the requirements that U.S. firms be more than 50 percent beneficially owned by U.S. citizens or firms and that they have their principal place of business in the United States. The sole remaining test for U.S. firms was that they be incorporated or legally organized in the United States. The March 1978 change also permitted controlled foreign corporations, as defined in Section 957 et seq. of the Internal Revenue Code, to be eligible for contracts for services.

In early 1979, at the request of U.S. firms and industry groups, A.I.D. began a reexamination of its nationality policy. Following hearings held by Senator Inouye in April 1979, A.I.D. met with industry groups and thereafter published for comment in the Federal Register of June 21, 1979 a proposed policy change that essentially reverted to the pre-March 1978 policy of imposing three tests of nationality for U.S. firms. The June proposal also eliminated the eligibility of controlled foreign corporations.

Among the numerous comments to the June 1979 proposal were many from foreign-owned U.S. firms with substantial ties to the U.S. economy. These firms argued for continued eligibility on the grounds that they had long been established in the United States, paid U.S. taxes, and employed U.S. citizens.

After consideration of all comments and consultation with interested Executive Branch agencies, A.I.D. circulated a revised policy dated September 21, 1979. The revised policy added an alternate four part test for U.S. firms with principal place of business in the United States that could not meet the 50 percent U.S. beneficial ownership test. The alternate test looked to time established in the United States, citizenship of employees, and capability of performing the A.I.D. contract out of the U.S. office. Although it thus permitted certain foreign-owned U.S. firms to compete, the September "Compromise" proposal, by means of

the four part test, did eliminate foreign-owned "shell" corporations with no substantial ties to the U.S. economy. It also eliminated the eligibility of controlled foreign corporations.

The A.I.D. Administrator has approved the policy set forth below which is based on the September draft. The Administrator's decision took into account U.S. policies on foreign investment, national treatment, and competition and A.I.D. goals and program needs. It also considered the views of interested Executive Branch agencies, Members of Congress, and the public.

The nationality policy refers to "authorized geographic codes". At the present time, A.I.D. utilizes two geographic codes to designate eligible suppliers of goods and services: Code 090 means United States only; Code 941 means the United States and certain developing countries. A.I.D. Geographic Code 935, used in the policy with respect to the nationality of employees, includes all free world countries.

A.I.D. Policy on Nationality of Suppliers of Services

A.I.D. Handbook 1B, Chapter 5, Source and Nationality

5C Nationality of Suppliers of Goods or Services

1. Policy

a. . . .

b. Nationality Policy

(1)

(2) *Suppliers of Services.* A contractor providing services or a subcontractor providing services under an A.I.D.-financed prime contract for services must fit one of the following categories (a), (b) or (c) to be eligible for A.I.D. financing:

(a) An individual who is a citizen of and whose principal place of business is in a country or area included in the authorized geographic code or a non-U.S. citizen lawfully admitted for permanent residence in the United States whose principal place of business is in the United States;

(b) A corporation or partnership that is incorporated or legally organized under the laws of a country or area included in the authorized geographic code, has its principal place of business in a country or area included in the authorized geographic code, and meets the criteria set forth in either subparagraph 1 or 2, below:

1 The corporation or partnership is more than 50% beneficially owned by individuals who are citizens of a country or area included in the authorized geographic code. In the case of corporations, "more than 50% beneficially owned" means that more than 50% of each class of stock is owned by such individuals; in the case of partnerships, "more than 50% beneficially owned" means that more than 50% of each category of partnership interest (e.g. general, limited) is owned by such individuals. (With respect to stock or interests held by companies, funds

or institutions, the ultimate beneficial ownership by individuals is controlling.)

2 The corporation or partnership: a has been incorporated or legally organized in the United States for more than three years prior to the issuance date of the invitation for bids or request for proposals, and

b has performed within the United States administrative and technical, professional or construction services under a contract or contracts for services and derived revenue therefrom in each of the three years prior to the date described in the preceding paragraph, and

c employs United States citizens in more than half its permanent full-time positions in the United States, and

d has the existing capability in the United States to perform the contract; or

(c) A joint venture or unincorporated association consisting entirely of individuals, corporations, or partnerships which fit categories (a) and (b) above. However, joint ventures with firms wholly or partially owned by the host government are ineligible.

(d) A duly authorized officer of the firm shall certify that the participating firm meets either the requirements of subparagraphs (b) 1 or (b) 2. In the case of corporations, the certifying officer shall be the corporate secretary. With respect to the requirements of subparagraph (b) 1, the certifying officer may presume citizenship on the basis of the stockholder's record address, provided the officer certifies, regarding any stockholder (including any corporate funds or institutional stockholder) whose holdings are material to the corporation's eligibility, that the certifying officer knows of no fact which might rebut that presumption.

(3) *Ineligible Suppliers of Commodities and Services.* Citizens or firms of any country not included in A.I.D. Geographic Code 935 are ineligible as suppliers, contractors, subcontractors, or agents in connection with A.I.D.-financed contracts for goods or services. However, non-U.S. citizens lawfully admitted for permanent residence in the United States are eligible.

c. *Nationality of Employees Under Contracts and Subcontracts for Services.* The nationality policy of subparagraph b (2), above, does not apply to the employees of contractors or subcontractors, but all contractor and subcontractor employees engaged in providing services under A.I.D.-financed contracts must be citizens of countries included in A.I.D. Geographic Code 935 or non-U.S. citizens lawfully admitted for permanent residence in the United States.

EFFECTIVE DATE: The foregoing policy shall apply to all A.I.D.-financed contract solicitations, including prequalification notices, issued on or after April 1, 1980.

FOR FURTHER INFORMATION CONTACT: Frank Calkins (703) 235-9107.

Dated: March 28, 1980.

D. G. MacDonald,

Assistant Administrator, Bureau for Program and Management Services.

[FR Doc. 80-10527 Filed 4-7-80; 8 45 am]

BILLING CODE 4710-02-M

INTERNATIONAL TRADE COMMISSION

[Investigation No. 337-TA-69]

Certain Airtight, Cast-Iron Stoves; Amended Notice of Termination

The following notice amends the Notice of Termination issued by the U.S. International Trade Commission on March 26, 1980 and published in the Federal Register, which had several words inadvertently omitted:

Upon consideration of the presiding officer's recommendation and the record in this proceeding, the Commission is ordering the termination of investigation No. 337-TA-69, Certain Airtight Cast-Iron Stoves, as to respondents Radka Imports, Inc. and Tetro Imports, by granting the Motion (Motion Docket No. 69-7) by the Commission investigative attorney to terminate this investigation as to those two respondents, after having determined that such respondents are not currently in violation of section 337 of the Tariff Act of 1930, as amended. The motion to terminate was unopposed by the complainants, Jotul, Inc. and Kristia Associates.

The order is effective as of March 28, 1980.

Any party wishing to petition for reconsideration of the Commission's action must do so within fourteen (14) days of service of the Commission Order and Commissioners' Opinion(s). Such petitions must be in accord with Commission rule 310.56 (19 CFR 210.56).

Copies of the Commission's Action and Order, the Commissioners' Opinion(s), and any other public documents in this investigation are available to the public during official working hours (8:45 a.m. to 5:15 p.m.) in the Office of the Secretary, United States International Trade Commission, 701 "E" Street, N.W., Washington, D.C. 20438, telephone (202) 523-0161.

Notice of the institution of this investigation was published in the Federal Register of July 12, 1979 (44 FR 40732).

Issued: April 1, 1980.

Kenneth R. Mason,
Secretary.

[FR Doc. 80-10005 Filed 4-7-80; 8:45 am]

BILLING CODE 7020-02-M

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

III.8.b

AID General Notice
March 5, 1978
DA/AID

SUBJECT: Delegation of Authority No. 40 - Delegation of Authority
Regarding Source, Origin and Nationality for Procurement

1. Previously, Delegation 40 gave the Regional Assistant Administrators and the Assistant Administrators for TA (now DS) and PHA (now PDC) only, authority to waive "source" requirements for commodity procurements up to \$100,000. Based on a recent review of the Delegation, it has been amended to:
 - a. Include authority to waive "nationality" requirements for the procurement of services as well as "source" requirements for commodities in order to consolidate the authority for similar activities;
 - b. Include AA/SER's authority to waive "flag carrier" requirements;
 - c. Increase the Assistant Administrators' delegated authority for waivers of "source," "nationality," and "flag carrier" requirements to \$500,000;
 - d. Limit Assistant Administrators' authority to redelegate "source," "nationality," and "flag carrier" waiver authority to \$250,000 in order to provide for Assistant Administrator level review of large value procurements;
 - e. Specify that "source" waiver authority for motor vehicle procurement in excess of \$25,000 may not be redelegated by the Assistant Administrators; and
 - f. Revise required certifications for waivers.
2. A centralized system for clearing and recording waivers is being established so that information concerning the use of this authority will be available to management.
 - a. All "source" waivers issued by AID/W under the authority of Delegation 40 or any AID/W redelegation thereunder, must indicate consultation with GC and SER/COM, and a copy of every approved waiver must be sent to AA/SER.

- b. All "nationality" waivers issued by AID/W under the authority of Delegation 40 or any AID/W redelegation thereunder, must indicate consultation with GC and SER/CM, and a copy of every approved waiver must be sent to AA/SER.
 - c. All "flag carrier" waivers issued by AID/W under authority of Delegation 40 or any AID/W redelegation thereunder, must indicate consultation with GC and the Bureau responsible for the project or program, and a copy of every approved waiver must be sent to AA/SER.
 - d. Waivers issued by a Mission pursuant to a redelegation under Delegation 40 do not require AID/W consultation; however, a copy of each such waiver must be sent to AA/SER.
 - e. The criteria for approving "source," "nationality," and "flag carrier" waivers are set forth in Chapters 5 and 7 of Supplement B to AID Handbook 1.
 - f. While use of a standard waiver format is not mandatory, it is suggested that the "source" format provided in Appendix D1 of Handbook 15 be followed, appropriately modified, for "nationality" and "flag carrier" waivers.
3. Redelegation to the field in excess of \$100,000 will require consultation with the appropriate procurement specialists in SER and GC to ensure that necessary field support staff is available to assist the official being delegated the higher authority.
 4. Special note regarding U.S. flag air carriers under grant-financed assistance. Use of U.S. flag air carriers under grant-financed assistance is governed by Public Law (PL) 93-623, the International Air Transportation Fair Competitive Practices Act of 1974. Under PL 93-623, certain exceptions are specified which permit use of non-U.S. flag air carriers. The established exceptions which allow use of non-U.S. flag air carriers are set forth in Chapter 7 of AID Handbook 1, Supplement B.
 5. The subject delegation is effective immediately and a copy is attached.

Any questions on this Notice should be referred to SER/CM/POL telephone 235-9108.

DISTRIBUTION:

AID Lists H and B-1, Position 8

Attachments a/s

DEPARTMENT OF STATE

Agency for International Development

[Delegation of Authority No. 40]

REGIONAL ASSISTANT ADMINISTRATORS, ET AL.

Delegation of Authority Regarding Source, Origin
and Nationality for Procurement

Pursuant to the authority delegated to me by Delegation of Authority No. 104, dated November 3, 1961 (26 Fed. Reg. 10,608, November 10, 1961), as amended, from the Secretary of State, and AID Delegation of Authority No. 34, dated May 13, 1969, it is hereby directed as follows:

I. The Assistant Administrator for Africa, Asia, Latin America, Near East, Development Support, and Private Development Cooperation, each for countries or programs for which he or she is responsible, are hereby delegated the following authorities:

A. Selected Free World. Authority to waive, in accordance with the criteria prescribed by Supplement B of AID Handbook 1, U.S. source, origin or nationality requirements, to permit procurement of goods and services, other than transportation services, in countries included in AID Geographic Code 941, (Selected Free World) and the cooperating country, when the cost of the goods and services does not exceed \$500,000 (exclusive of transportation costs) of funds made available under the Foreign Assistance Act of 1961, as amended.

B. Free World. Authority to make specific exceptions to U.S. or Code 941 source, origin or nationality requirements, in

amended; provided, however: that all waivers approved pursuant to paragraph II.B. shall contain a certification by the approving official that "The interests of the U.S. are best served by permitting financing of transportation services on aircraft or ocean vessels under flag registry of free world countries other than the cooperating country and countries included in Code 941."

III. General Provisions.

A. Any reference in this Delegation of Authority to any Act of Congress, order, determination, or delegation of authority shall be deemed to be a reference to such Act of Congress, order, determination, or delegation of authority as amended from time to time.

B. Any official of AID to whom functions are delegated under this Delegation of Authority may redelegate any of the functions, provided, however: that any such redelegation shall be limited to cases in which the cost of the goods, services, and transportation services do not exceed \$250,000; and provided further that the authority to waive source and origin requirements for motor vehicle procurement shall not be redelegated for transactions in excess of \$25,000.

C. Delegation of Authority No. 40, dated April 17, 1964, (29 FR 5695, April 29, 1964) as previously amended, is hereby revoked. This revised delegation shall not be construed to affect the validity of any waiver or redelegation granted by a properly authorized official prior to the effective date of this revised

delegation and any such waiver or redelegation shall continue in effect unless modified or revoked by an official to whom such authority has been delegated by this order.

D. This Delegation of Authority is effective immediately.

3/5/78

Date

RH Nooter

Robert H. Nooter
Deputy Administrator

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SUBJECT: ADMINISTRATIVE APPROVAL OF VOUCHERS UNDER HOST
COUNTRY CONTRACTS

REF: HANDBOOK 19, CHAPTER 3, REVISED MAY 11, 1979

1. PROJECT OFFICER. THE PROJECT OFFICER, AS THAT TITLE IS USED IN THIS MESSAGE, IS THAT MEMBER OF THE MISSION STAFF WHO IS CHARGED WITH THE MONITORING OF A PROJECT. MONITORING OF PROJECTS INCLUDING DIFFERENT ELEMENTS (E.G. ADVISORY SERVICES, TRAINING AND CONSTRUCTION OF PHYSICAL FACILITIES) MAY BE DIVIDED AMONG SEVERAL OFFICERS HAVING DIFFERENT TECHNICAL BACKGROUNDS. ONLY ONE OF THEM, HOWEVER, IS CHARGED WITH THE OVERALL MONITORING OF PROJECT IMPLEMENTATION AND IS DESIGNATED AS PROJECT OFFICER. FOR THE PURPOSE OF APPROVING VOUCHERS THE PROJECT OFFICER MAY RELY ON OTHER OFFICERS HAVING PARTIAL RESPONSIBILITIES FOR PROJECT MONITORING FOR INFORMATION AND ADVICE. (NOTE: MISSIONS WHICH USE THE TERM PROJECT MANAGER TO DESIGNATE THE USAID OFFICER RESPONSIBLE FOR PROJECT IMPLEMENTATION SHOULD SUBSTITUTE THAT TERM FOR PROJECT OFFICER IN THIS MESSAGE.)

2. PROJECT MONITORING. IN MONITORING PROJECTS, PROJECT OFFICERS USE PERIODICAL REPORTS PREPARED BY CONTRACTORS,

HOST COUNTRY REPORTS, SITE VISITS AND CONFERENCES WITH THE HOST COUNTRY'S IMPLEMENTING AGENCY OR AGENCIES AND CONTRACTORS AS SOURCES OF INFORMATION ON THE STATUS OF PROJECTS AND ON IMPLEMENTATION PROBLEMS AND AS A BASIS FOR THEIR EFFORTS TO ASSIST IN THE RESOLUTION OF SUCH PROBLEMS. IN CARRYING OUT THOSE MONITORING TASKS, THEY BECOME FAMILIAR WITH AT LEAST THE KEY MEMBERS OF THE STAFF OR, WHERE SMALL CONTRACTOR TEAMS ARE INVOLVED, WITH ALL TEAM MEMBERS, AND WITH THE WORK BEING PERFORMED BY THE CONTRACTOR. THAT WORK MAY INCLUDE ONLY ADVISORY SERVICES, OR IN ADDITION, THE PROVISION OF COMMODITIES NEEDED FOR THE PROJECT, CH-

THE-JOB TRAINING OR OTHER SERVICES; IT MAY ALSO CONSIST OF STUDIES, CONSTRUCTION SUPERVISION OR MANAGEMENT, OF OTHER ENGINEERING SERVICES, OF CONSTRUCTION SERVICES (USUALLY INCLUDING THE PROVISION OF CONSTRUCTION MATERIALS), OF INSTALLATION SERVICES OR A COMBINATION OF TWO OR MORE OF SUCH SERVICES. THE WORK MAY ALSO CONSIST OF THE SUPPLY OF EQUIPMENT OR MATERIALS NEEDED FOR A PROJECT, EITHER EXCLUSIVELY OR COMBINED WITH INCIDENTAL SERVICES, SUCH AS ERECTION SUPERVISION. DEPENDING ON THE TYPE OF WORK TO BE PERFORMED UNDER A CONTRACT AND ON THE SIZE OF THE PROJECT, A PROJECT OFFICER MAY HAVE A FAIRLY DETAILED KNOWLEDGE OF THE SERVICES BEING RENDERED OR THE GOODS SUPPLIED; IN OTHER CASES, PARTICULARLY WHERE NUMEROUS CONTRACTS ARE NEEDED TO IMPLEMENT A PROJECT, THE PROJECT OFFICER MAY DEVOTE HIS MONITORING TIME PRIMARILY TO PROBLEM AREAS AND PAY LESS ATTENTION TO CONTRACTS THAT ARE BEING CARRIED OUT ROUTINELY AND WITHOUT CAUSING NOTICEABLE PROBLEMS.

3. PRINCIPLES GOVERNING ADMINISTRATIVE APPROVAL OF VOUCHERS. THE ESTABLISHMENT OF A REQUIREMENT FOR THE ADMINISTRATIVE APPROVAL OF VOUCHERS UNDER COUNTRY CONTRACTING PROCEDURES IN 1977 WAS PREDICATED ON THE FACT THAT A PROJECT OFFICER IN THE FIELD IS MORE FAMILIAR WITH THE PROJECTS ASSIGNED TO HIM, AND WITH THE WORK BEING PERFORMED BY CONTRACTORS IN THE IMPLEMENTATION OF SUCH PROJECTS, THAN ANY OTHER PERSON IN AID. IT WAS INTENDED TO MAKE USE OF THAT FAMILIARITY WITH PROJECTS TO PREVENT ERRORS IN MAKING PAYMENTS TO CONTRACTORS WITHOUT, AT THE SAME TIME, IMPOSING ON PROJECT OFFICERS A SUBSTANTIAL ADDITIONAL WORKLOAD OR CREATING A NEW COMPONENT OF A PROJECT OFFICER'S SCOPE OF WORK. THESE CONCEPTS ARE REFLECTED IN THE REFERENCE TO QUOTE MY PERSONAL KNOWLEDGE OF THE PROJECT UNQUOTE IN THE PROJECT OFFICER'S APPROVAL STATEMENT. AN ELABORATION OF THESE PRINCIPLES IS CONTAINED IN THE FOLLOWING PARAGRAPHS.

4. VOUCHERS EXEMPTED FROM REQUIREMENT OF ADMINISTRATIVE APPROVAL. IN ADDITION TO VOUCHERS SUBMITTED FOR PAYMENT

UNDER BANK LETTERS OF COMMITMENT, EXEMPTED FROM THE REQUIREMENT OF ADMINISTRATIVE APPROVAL IN MARCH 1977, CERTAIN VOUCHERS SUBMITTED UNDER DIRECT LETTERS OF COMMITMENT ARE NOW ALSO EXEMPTED, VIZ. VOUCHERS RELATING TO THE SUPPLY OF GOODS, I.E. PROJECT COMMODITIES SUPPLIED BY SERVICE CONTRACTORS AND EQUIPMENT AND MATERIALS PURCHASED BY HOST COUNTRY AGENCIES FOR THE IMPLEMENTATION OF PROJECTS, IF THE CONTRACTS UNDER WHICH SUCH GOODS ARE SUPPLIED PROVIDE FOR PAYMENT AGAINST INVOICES AND SHIPPING DOCUMENTS THAT EXEMPTION IS MADE BECAUSE THE FIELD PROJECT OFFICER HAS HIS INDEPENDENT KNOWLEDGE OF THE CONTRACTOR'S PERFORMANCE IN SHIPPING THE INVOICED COMMODITIES AND THEREFORE COULD NOT BASE HIS ADMINISTRATIVE APPROVAL OF THE VOUCHER ON QUOTE PERSONAL KNOWLEDGE OF THE PROJECT UNQUOTE; MOREOVER, THE SHIPPING DOCUMENTS, TOGETHER WITH THE CONTRACTOR'S CERTIFICATION, DOCUMENT THE FACT THAT THE CONTRACTOR HAS PERFORMED IN ACCORDANCE WITH THE CONTRACT. (SHORTAGES, BREAKAGE, NON-COMPLIANCE WITH SPECIFICATIONS AND ANY OTHER SHORTCOMINGS IN CARRYING OUT THE TERMS OF THE CONTRACT ARE HANDLED IN THE USUAL MANNER BY CLAIMS AGAINST THE CONTRACTOR OR INSURER; SUCH SHORTCOMINGS COULD NOT BE DISCOVERED BY A PROJECT OFFICER AT THE TIME PAYMENT IS DUE BUT ONLY AFTER ARRIVAL OF THE GOODS AT THE SITE AND INSPECTION).

3. BASIS FOR PROJECT OFFICER'S ADMINISTRATIVE APPROVAL; (A) THE PRINCIPLES UNDERLYING THE REQUIREMENT FOR ADMINISTRATIVE APPROVAL ARE SET FORTH IN PARAGRAPH 3, ABOVE; FOR THE PURPOSE OF CLARIFYING THOSE PRINCIPLES, A NUMBER OF SPECIFIC TYPES OF CONTRACTS ARE DISCUSSED BELOW.

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(B) SERVICES UNDER COST REIMBURSABLE CONTRACTS.
(1) COSTS OF FIELD SERVICES. THE MAJOR COSTS UNDER THIS HEADING ARE SALARIES AND OTHER COMPENSATION PAID TO THE CONTRACTOR'S EMPLOYEES IN THE FIELD; THE PROJECT OFFICER IS EXPECTED TO REVIEW ONLY THE NUMBER AND CLASSIFICATION OF THE EMPLOYEES FOR WHOM SALARIES ARE BILLED AND TO CONFIRM THAT THE BILLING IS CONSISTENT WITH THE FACTS AS HE KNOWS THEM FROM PERSONAL OBSERVATION OR FROM REPORTS; NO SPECIAL EFFORT NEED BE MADE TO VERIFY THE ACCURACY OF THE BILLING BY INSPECTING THE CONTRACTOR'S TIME RECORDS OR MAKING OTHER INQUIRIES. NOR IS IT EXPECTED THAT THE PROJECT OFFICER CHECK THE BILLING FOR CONSISTENCY WITH THE CONTRACT OR FOR ARITHMETICAL ACCURACY. A REVIEW OF OTHER ITEMS OF FIELD COSTS BILLED, SUCH AS TRAVEL, COMMUNICATIONS, OFFICE EXPENSES AND SIMILAR MISCELLANEOUS COSTS, DO NOT REQUIRE A DETAILED REVIEW BY THE PROJECT OFFICER SINCE, IN MOST INSTANCES, HE WILL NOT HAVE ANY PERSONAL KNOWLEDGE OF THE JUSTIFICATION OF SUCH CHARGES. ANY

OBVIOUS DISCREPANCIES BETWEEN THE BILLING AND FACTS KNOWN TO THE PROJECT OFFICER SHOULD, HOWEVER, BE NOTED. (SEE PARAGRAPH 5, BELOW ON DISALLOWANCES.)

(1) HOME OFFICE COSTS. THE PROJECT OFFICER WILL, IN MOST CASES, BE UNABLE TO JUDGE THE JUSTIFICATION OF CHARGES FOR HOME OFFICE COSTS SINCE HIS MONITORING COVERS PRINCIPALLY FIELD ACTIVITIES. HE IS THEREFORE NOT EXPECTED TO ATTEMPT A DETAILED VERIFICATION OF SUCH CHARGES; HE IS EXPECTED TO NOTE ONLY SUCH DISCREPANCIES AS HE IS ABLE TO DISCOVER BASED ON KNOWLEDGE ACQUIRED IN THE COURSE OF NORMAL PROJECT MONITORING, E.G. COSTS OF PRINTING A REPORT HE KNOWS HAS NOT YET BEEN COMPLETED OR A FIELD TRIP BY A HOME OFFICE EXECUTIVE WHICH HE KNOWS HAS NOT TAKEN PLACE.

(C) GOODS SUPPLIED UNDER COST REIMBURSABLE CONTRACTS. GOODS FOR WHICH PAYMENT IS DUE UPON SHIPMENT FROM A POINT DEFINED IN THE CONTRACT (FOB FACTORY, FOB PORT OF EXPORT OR C & F, WITH PAYMENT UPON SHIPMENT), ARE NOT SUBJECT TO THE PROJECT OFFICER'S ADMINISTRATIVE APPROVAL AS EXPLAINED UNDER PARAGRAPH 4, ABOVE. WHEN CHARGES FOR SUCH GOODS ARE BILLED ON THE SAME INVOICE AS SERVICES, WHICH ARE SUBJECT TO SUCH APPROVAL, THE PROJECT OFFICER'S CERTIFICATION SHALL BE DEEMED TO COVER ONLY THE SERVICE ITEMS REVIEWED BY HIM PURSUANT TO SUBPARAGRAPH (B), ABOVE. IN THE RARE CASES WHERE PAYMENT FOR GOODS IS DUE ONLY AFTER RECEIPT AT THE SITE, THE PROJECT OFFICER IS NOT EXPECTED TO VERIFY THE QUANTITIES OF THE ITEMS SHIPPED, OR THEIR CONFORMANCE TO SPECIFICATIONS; HE IS TO NOTE, HOWEVER, IF HE KNOWS THAT THE GOODS HAD NOT BEEN RECEIVED DURING THE PERIOD COVERED BY THE BILLING, EITHER FROM PERSONAL OBSERVATIONS OR FROM REPORTS. (SEE PARAGRAPH 8, BELOW.)

(D) GOODS AND SERVICES SUPPLIED UNDER FIXED PRICE CONTRACTS.

(1) LUMP SUM CONTRACTS. A MAJOR CATEGORY OF CONTRACTS OF THIS TYPE ARE CONTRACTS COVERING THE SUPPLY OF MATERIALS AND EQUIPMENT FOR WHICH PAYMENT IS TO BE MADE UPON SHIPMENT. VOUCHERS SUBMITTED UNDER SUCH CONTRACTS ARE NOT SUBJECT TO THE ADMINISTRATIVE APPROVAL OF THE PROJECT OFFICER BECAUSE, AS EXPLAINED UNDER PARAGRAPH 4 ABOVE, THE PROJECT OFFICER HAS NO INDEPENDENT KNOWLEDGE OF THE SHIPMENT AND PAYMENT MUST BE MADE BY AID ON THE BASIS OF THE CONTRACTOR'S CERTIFICATION AND SHIPPING DOCUMENTS. PAYMENT FOR SERVICES PROVIDED UNDER A FIXED LUMP SUM CONTRACT ARE NORMALLY MADE UPON COMPLETION OF THE CONTRACT. CONTRACTS OF SHORT DURATION AND OF RELATIVELY SMALL VALUE, SUCH AS CONTRACTS FOR STUDIES OF LIMITED SCOPE OR SHORT-TERM, WELL-DEFINED, SERVICES (E.G. REVIEW OF A REPORT), ARE

EXAMPLES OF SUCH CONTRACTS. IN SUCH CASES, THE PROJECT OFFICER'S APPROVAL OF A VOUCHER IS BASED ON HIS KNOWLEDGE THAT THE SERVICES HAVE BEEN RENDERED OR A REQUIRED REPORT HAS BEEN SUBMITTED.

IN THE EXCEPTIONAL CASES WHERE LUMP-SUM FIXED-PRICE CONTRACTS PROVIDE FOR PROGRESS PAYMENTS, SUCH PAYMENTS ARE CONTRACTUALLY STIPULATED EITHER AT CERTAIN FIXED TIMES OR UPON THE OCCURRENCE OF SPECIFIED EVENTS. WHEN PAYMENT IS TO BE MADE AT FIXED TIMES, THE PROJECT OFFICER'S APPROVAL OF PROGRESS PAYMENTS MAY BE ROUTINELY PROVIDED UNLESS THE PROJECT OFFICER HAS PERSONAL KNOWLEDGE THAT THE CONTRACTOR HAS FAILED TO COMPLY WITH PERFORMANCE PROVISIONS OF THE CONTRACT ON WHICH THE FIXED PAYMENTS ARE PREDICATED. WHEN APPROVING THE VOUCHER FOR THE FINAL PAYMENT, THE PROJECT OFFICER IS EXPECTED TO KNOW WHETHER THE WORK HAS BEEN COMPLETED. IF PROGRESS PAYMENTS ARE DUE UPON THE OCCURRENCE OF A SPECIFIED EVENT (E.G. THE COMPLETION OF THE FOUNDATION OF A BUILDING OR THE SUBMISSION BY THE CONTRACTOR OF AN INTERIM REPORT), THE PROJECT OFFICER MAY APPROVE A VOUCHER UNLESS HE HAS PERSONAL KNOWLEDGE, FROM REPORTS OR OTHER SOURCES THAT THE SPECIFIED EVENT HAS NOT OCCURRED.

(1) UNIT PRICE CONTRACTS. UNIT PRICE CONTRACTS ARE NORMALLY USED ONLY FOR MAJOR CONSTRUCTION PROJECTS. SUCH CONTRACTS NORMALLY PROVIDE FOR PROGRESS PAYMENTS, USUALLY MONTHLY, BASED ON ACTUAL WORK PERFORMED. BILLINGS SHOW THE QUANTITIES OF VARIOUS CATEGORIES OF WORK PERFORMED AND THE CONTRACTUALLY FIXED UNIT PRICES, TOGETHER WITH THE AMOUNT CALCULATED BY MULTIPLYING THE QUANTITIES BY THE UNIT PRICES. THE QUANTITIES BILLED ARE, IN THE FIRST INSTANCE, ASCERTAINED BY THE CONTRACTOR; THEY ARE THEN CERTIFIED BY THE CONTRACTING AGENCY OF HIS CONSULTING ENGINEERS BEFORE BEING SUBMITTED TO THE PROJECT OFFICER FOR REVIEW. THE PROJECT OFFICER IS NOT EXPECTED TO VERIFY BY AN INDEPENDENT INVESTIGATION, SUCH AS THE EXAMINATION OF CONSTRUCTION RECORDS, WHETHER THE QUANTITIES BILLED ARE CORRECT; HE MAY RELY ON THE CERTIFICATION OF THE CONTRACTING AGENCY OR THE CONSULTING ENGINEER ACTING ON ITS BEHALF. NEITHER IS HE EXPECTED TO COMPARE UNIT PRICES USED IN THE BILLING WITH CONTRACT PRICES OR TO CHECK THE BILLING FOR ARITHMETIC ACCURACY. HIS APPROVAL OF THE VOUCHER SHALL MEAN ONLY THAT HE HAS NO KNOWLEDGE OF ANY FACTS WHICH WOULD MAKE AN INQUIRY INTO THE ACCURACY OF THE BILLING ADVISABLE EITHER BEFORE OR AFTER AID PAYS TO THE CONTRACTOR THE AMOUNT CLAIMED.

(E) OTHER FORMS OF CONTRACT. IN THE RARE INSTANCES WHERE OTHER FORMS OF CONTRACT ARE USED (E.G. TIME-RATE CONTRACTS) THE FOREGOING GUIDANCE SHOULD BE USED, CONSISTENT WITH THE PRINCIPLES OUTLINED IN PARAGRAPH 3 AND THE DETAILED DISCUSSION IN THE FOREGOING SUBPARAGRAPHS, AS APPLICABLE.

6. UNUSUAL CIRCUMSTANCES.

(A) IF CONTRARY TO NORMAL PRACTICE, THE PROJECT FOR WHICH A VOUCHER IS SUBMITTED HAS NOT BEEN ASSIGNED TO A PROJECT OFFICER AND NO OTHER MEMBER OF THE MISSION STAFF HAS PERSONAL KNOWLEDGE OF THE PROJECT, OR IF THE PROJECT HAS BEEN ASSIGNED TO A PROJECT OFFICER ONLY JUST BEFORE THE VOUCHER IS SUBMITTED, THE PROJECT OFFICER OR ANOTHER MISSION OFFICER SHOULD APPROVE THE VOUCHER WITH THE FOLLOWING STATEMENT: QUOTE I HAVE REVIEWED THE VOUCHER, THE RELATED INVOICE (S) AND SUPPORTING DOCUMENTATION ATTACHED THERETO. I DO NOT HAVE AND AM UNABLE TO OBTAIN PROMPTLY PERSONAL KNOWLEDGE OF THE PROJECT, (E.G. QUOTE I ARRIVED AT POST SIX DAYS AGO AND HAVE NOT YET VISITED THE PROJECT SITE

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LOCATED 500 MILES FROM THE CAPITAL. ALSO, A USAID TECHNICIAN WHO RECENTLY VISITED THE PROJECT HAS BEEN MEDICALLY EVACUATED UNQUOTE). I HAVE NO REASON TO BELIEVE THAT PAYMENT OF THE AMOUNTS CLAIMED IN THIS VOUCHER SHOULD BE WITHHELD. THEREFORE, THE VOUCHER IS ADMINISTRATIVELY APPROVED FOR PAYMENT SUBJECT TO THE FINANCIAL REVIEW AND CERTIFICATION BY THE PAYING OFFICE. UNQUOTE

(B) QUALIFIED APPROVALS AS SET FORTH ABOVE SHOULD OBVIOUSLY BE USED ONLY ON RARE OCCASIONS SINCE THE CIRCUMSTANCES NECESSITATING THESE SHOULD NOT CONTINUE FOR ANY EXTENDED PERIOD. SHOULD THE ACO NOTE REPEATED INSTANCES OF QUALIFIED APPROVALS OF VOUCHERS RELATING TO THE SAME PROJECT, HE SHOULD INFORM THE MISSION DIRECTOR AND THE REGIONAL BUREAU IN WASHINGTON.

(C) THE APPROVAL STATEMENT SHOWN IN HANDBOOK 11, CHAPTER 1 (SECTION 3.6.5.4 (B) (2)) IS NOT TO BE USED IN THE CIRCUMSTANCES DESCRIBED IN SUBPARAGRAPH (A); ABOVE; IT IS REPEATED TO BE USED ONLY WHEN SUMMARY DATA, BUT NOT THE ACTUAL DOCUMENTATION, HAVE BEEN MADE AVAILABLE TO THE PROJECT OFFICER BY AN ACO LOCATED AT A DIFFERENT POST. HB 11 WILL BE CORRECTED ACCORDINGLY.

7. CERTIFICATION BY AUTHORIZED CERTIFYING OFFICER (ACO). THE ACO IS RESPONSIBLE FOR CHECKING VOUCHERS FOR CONSISTENCY WITH THE CONTRACT, INCLUDING THE CONTRACT BUDGET, AND ARITHMETIC ACCURACY, AS HE CONSIDERS NECESSARY, BEFORE MAKING PAYMENT. INCLUDED IN SUCH REVIEW WILL BE ALL BILLING ITEMS NOT ENCOMPASSED IN THE REVIEW OF THE PROJECT OFFICER, SUCH AS HOME OFFICE COSTS, TRAVEL AND TRANSPORTATION

CHARGES, COMMUNICATION COSTS AND MISCELLANEOUS PERSONNEL COSTS, SUCH AS HOUSING AND EDUCATION ALLOWANCES.

8. DISALLOWANCES.

(A) DEFICIENCIES IN FORM. IF THE PROJECT OFFICER DISCOVERS DURING THE REVIEW OF A VOUCHER FORMAL DEFICIENCIES (E.G. LACK OF A SIGNATURE, LACK OF OR INCONSISTENCY BETWEEN SUPPORTING DOCUMENTS), HE SHOULD NOTE SUCH DEFICIENCIES IN HIS APPROVAL STATEMENT. IT IS THE RESPONSIBILITY OF THE ACO TO DECIDE WHAT ACTION TO TAKE.

(B) SUBSTANTIVE DISCREPANCIES. IF THE PROJECT OFFICER DISCOVERS DURING THE REVIEW OF A VOUCHER THAT CHARGES FOR ONE OR MORE ITEMS INCLUDED IN THE VOUCHER ARE INCONSISTENT WITH THE FACTS AS HE KNOWS THEM AND IN HIS OPINION, SHOULD NOT HAVE BEEN BILLED, HE SHOULD INFORM THE MISSION DIRECTOR OF THE FACTS IN THE CASE. A DECISION ON THE ACTION TO BE TAKEN SHALL BE MADE ONLY BY THE MISSION DIRECTOR, OR A PERSON DESIGNATED BY HIM FOR THIS PURPOSE; THE FOLLOWING COURSES OF ACTION SHOULD BE CONSIDERED:

(I) TO INFORM THE APPROPRIATE HOST GOVERNMENT AGENCY THAT AID CANNOT MAKE ANY, OR ONLY PARTIAL, PAYMENT TO THE CONTRACTOR, STATING THE BASIS FOR THAT FINDING; OR
(II) TO INCLUDE IN, OR ATTACH TO, THE APPROVAL STATEMENT, A REPORT ON THE FACTS WHICH PREVENT THE PROJECT OFFICER FROM SIGNING AN UNQUALIFIED APPROVAL STATEMENT; A DECISION ON THE ACTION TO TAKE WILL THEN BE MADE BY THE ACO.

THE FORMER COURSE SHOULD BE TAKEN IF THE DISCREPANCIES DISCOVERED BY THE PROJECT OFFICER ARE OF SUCH MAGNITUDE THAT IT APPEARS THAT THE ONLY PROPER REMEDY IS A REQUEST BY THE HOST GOVERNMENT AGENCY TO THE CONTRACTOR FOR SUBMISSION OF A CORRECTED VOUCHER. THE SECOND COURSE SHOULD BE CHOSEN WHEN THE ACO COULD MAKE PAYMENT SUBJECT TO ACTION BY THE CONTRACTOR (E.G. AN ADJUSTMENT ON A SUBSEQUENT BILLING), SUSPEND PAYMENT UNTIL THE DISCREPANCY IS EXPLAINED SATIS-

FACTORILY OR TAKE ANY OTHER ACTION SHORT OF REFUSING TO PAY THE AMOUNTS CLAIMED. IF THE ACO DECIDES TO DISALLOW ANY PART OF THE AMOUNT CLAIMED ON A VOUCHER HE SHOULD PROMPTLY INFORM THE MISSION DIRECTOR SO THAT HE CAN APPRISE THE HOST GOVERNMENT OF THE DISPUTE. IN NO EVENT SHOULD THE MISSION DIRECTOR OR ANY OTHER MISSION OFFICER ADVISE A CONTRACTOR THAT AID HAS DISALLOWED, OR WILL DISALLOW, ANY PART OF THE AMOUNT BILLED BEFORE THE HOST GOVERNMENT AGENCY CONCERNED HAS BEEN INFORMED OF THE FACTS AS DETERMINED BY THE PROJECT OFFICER AND HAS BEEN ASKED TO REQUEST THE CONTRACTOR TO TAKE WHATEVER REMEDIAL ACTION IS REQUIRED. IF THE HOST GOVERNMENT AGENCY DOES NOT AGREE WITH AID'S

FINDINGS AND BELIEVES NO REMEDIAL ACTION BY THE CONTRACTOR IS REQUIRED, AND IF THE MISSION DIRECTOR IS UNABLE TO REACH AGREEMENT WITH SUCH AGENCY, THE MATTER SHOULD BE REFERRED TO THE ASSISTANT ADMINISTRATOR OF THE REGIONAL BUREAU TO WHOM THE MISSION REPORTS.

9. HANDBOOK REVISIONS. HANDBOOK 19 AND OTHER HANDBOOKS WHICH INCLUDE PROVISIONS PERTAINING TO THE ADMINISTRATIVE APPROVAL OF HOST COUNTRY CONTRACT VOUCHERS WILL BE AMENDED IN ACCORDANCE WITH THIS MESSAGE. A MATRIX WILL ALSO BE PROVIDED TO DESCRIBE VOUCHER REVIEW REQUIREMENTS AS APPLIED TO THE VARIOUS TYPES OF HOST COUNTRY CONTRACTS. CHRISTOPHER

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IDENTIFIED, APPROVED AND PROPERLY CHARGED PAST DUE RECEIVABLES WILL BE GIVEN VIGOROUS ATTENTION IN ACCORDANCE WITH H.B. 19, CHAPTER 7.

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APPROVED BY FM: M O STAFFORD
FM: M O STAFFORD
AA/PPC: B SIDMAN (DRAFT)
AA/SER: D G MACDONALD (DRAFT)
AA/ASIA: H COLLAMAR (DRAFT)
AA/HE: A WHITE (DRAFT)
AA/LAC: E COY (DRAFT)
AA/AFR: G BUTCHER (DRAFT)
AG: H BECKINGTON (DRAFT)
AA/PDC: K FLANNERY (PHONE)
AA/DS: K MILOW (PHONE)
GC: C COSTELLO (PHONE)
SER/MP: F ALLEN (DRAFT)
DESIRED DISTRIBUTION
3F ACTION FM 25 CHRON 1 2 3 4 6 7 8 10 INFO GCHE MP AFR IA IG PDC PPG
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IN ACCORDANCE WITH SECTION 3020.20 B, INITIAL BILLS FOR COLLECTION FOR AMOUNTS DUE AID, NOT COVERED BY CONTRACTS, AGREEMENTS OR OTHER FORMAL PAYMENT ARRANGEMENTS, WILL INFORM THE DEBTOR OF THE BASIS FOR THE INDEBTEDNESS, THE DATE BY WHICH PAYMENT IS TO BE MADE (DUE DATE), AND THE REQUIREMENT CONCERNING ADDITIONAL CHARGES FOR PAYMENTS RECEIVED AFTER THE DUE DATE. CHARGES FOR LATE PAYMENTS WILL BE AT THE RATE OF 3/4 OF 1 PERCENT (.0075) OF THE OVERDUE PAYMENT FOR EACH 30-DAY PERIOD OR PORTION THEREOF THAT THE PAYMENT IS DELAYED. AID HAS DETERMINED THAT THE ADMINISTRATIVE COST OF ENFORCING THE COLLECTION OF LATE CHARGES EXCEEDS THE AMOUNT OF SUCH CHARGES WHEN THE LATE CHARGE AMOUNT IS LESS THAN 25 DOLLARS. THEREFORE, ALL BILLS FOR COLLECTION WILL INFORM THE DEBTOR THAT ADDITIONAL CHARGES MUST BE ADDED TO LATE PAYMENTS. HOWEVER, NO ACTION WILL BE TAKEN BY AID TO COLLECT LATE CHARGES ASSESSED UNDER THE PROVISIONS OF SECTION 8028.20 A AND B WHEN THE AMOUNT OF SUCH CHARGES IS LESS THAN 25 DOLLARS.

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(2) USE OF TREASURY FINANCIAL COMMUNICATIONS SYSTEM (TFCS). AID BORROWERS MAKE INTEREST AND PRINCIPAL PAYMENTS BY (1) CHECK MAILED DIRECTLY TO THE AID CASHIER IN WASHINGTON, (2) ELECTRONIC FUNDS TRANSFER (EFT), OR (3) CHECK MAILED TO THE FEDERAL RESERVE BANK OF NEW YORK (FRB). THE EFT PAYMENTS ARE PROCESSED THROUGH THE TREASURY FINANCIAL COMMUNICATIONS SYSTEM (TFCS). THE USE OF EFT ELIMINATES THE QUOTE FLOAT UNQUOTE (DELAYED CREDIT) INHERENT IN BANK PROCESSING OF CHECKS AND RESULTS IN IMMEDIATE FUND AVAILABILITY TO THE TREASURY. POSTS AND AID OFFICIALS RESPONSIBLE FOR DEBT SERVICE COLLECTIONS SHOULD URGE BORROWERS NOW PAYING BY CHECK TO CONVERT TO EFT WHEREVER FEASIBLE.

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B. DEPOSITS
OFFICERS RESPONSIBLE FOR DEPOSITING RECEIPTS SHALL ASSURE THAT ALL RECEIPTS ARE DEPOSITED PROMPTLY IN ACCORDANCE

WITH PROVISIONS OF TFRM SECTION 3030. AS NOTED IN SECTION 8030.20, DEPOSITS SHOULD NOT BE DELAYED PENDING PROCESSING OF RELATED DOCUMENTS.

C. DISBURSEMENTS

(1) TIMELINESS OF DISBURSEMENTS. SECTION 8040.20 ESTABLISHES THE ACCEPTABLE METHOD FOR DETERMINING PAYMENT DUE DATES. PAYMENT DUE DATES FOR COMMODITY SHIPMENTS ARE FREQUENTLY ESTABLISHED BY COMMERCIAL PRACTICE SO THAT, FOR EXAMPLE, PAYMENTS MAY BE DUE A SUPPLIER ON PRESENTATION OF OCEAN BILLS OF LADING RATHER THAN ON ARRIVAL OF GOODS AT THE FOREIGN DESTINATION. FM WILL ESTABLISH INTERNAL ADMINISTRATIVE PROCEDURES TO SCHEDULE PAYMENTS AS CLOSELY AS POSSIBLE TO DUE DATES. USAIDS WILL ALSO DEVELOP PROCEDURES TO ASSURE THAT PAYMENTS APPROXIMATELY COINCIDE WITH DUE DATES.

(2) CASH DISCOUNTS. IN MANY INSTANCES IT IS IMPRACTICAL FOR AID TO TAKE ADVANTAGE OF CASH DISCOUNTS OFFERED BY SUPPLIERS, E.G. WHEN U.S. SUPPLIER INVOICES ARE PROCESSED FOR PAYMENT BY USAIDS THROUGH USDOs AT REGIONAL FINANCE CENTERS. IN OTHER INSTANCES IT SHOULD BE PRACTICAL TO TAKE DISCOUNTS THROUGH PROMPT PROCESSING OF INVOICES. ACCORDINGLY, FM INTERNAL ADMINISTRATIVE PROCEDURES FOR SCHEDULING PAYMENTS WILL INCORPORATE PROCEDURES WHICH WILL AUTOMATICALLY TAKE ADVANTAGE OF CASH DISCOUNTS AS A MATTER OF ROUTINE WHEN THE DISCOUNT RATE IS EQUIVALENT TO OR

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TAGS:
SUBJECT: CASH MANAGEMENT PROCEDURES

REF: (A) STATE 139036; (B) AIDTO CIRC A-125

I. INTRODUCTION

THIS MESSAGE PROVIDES PROCEDURES FOR IMPLEMENTATION OF AID'S CASH MANAGEMENT POLICY GUIDELINES WHICH WERE APPROVED BY THE DEPUTY ADMINISTRATOR ON NOVEMBER 21, 1978. THE PROCEDURES CONFORM TO TREASURY FISCAL REQUIREMENTS (TFRM 6-8000) PUBLISHED MARCH 31, 1973 AND ATTACHED TO REF B. THESE PROCEDURES ARE EFFECTIVE IMMEDIATELY AND ARE GENERALLY APPLICABLE TO ALL AID-FINANCED ACTIVITIES EXCEPT AS EXPLAINED IN THE TEXT OF THE PROCEDURES. HANDBOOKS WILL BE REVISED TO INCORPORATE THESE REQUIREMENTS. CASH MANAGEMENT PROCEDURES ARE DESCRIBED BELOW, BUT CERTAIN OBVIOUS AND SELF-EXPLANATORY PROVISIONS OF THE TFRM HAVE NOT BEEN REPEATED. TFRM 5-3000 WAS REVISED ON MAY 7, 1979 TO INCLUDE A PROVISION REQUIRING INTEREST CHARGES FOR PAST DUE PAYMENTS NOT COVERED BY CONTRACTS, AGREEMENTS OR OTHER FORMAL ARRANGEMENTS. THIS ADDITIONAL TREASURY REQUIREMENT IS INCLUDED UNDER SECTION II A (1) BELOW. ACCORDING TO THE TFRM AS AMENDED WILL BE MAILED TO ALL POSTS.

II. PROCEDURES

A. BILLINGS AND COLLECTIONS

(1) TIMELINESS, CHARGES FOR LATE PAYMENTS AND VOLUME AND CHARACTER OF COLLECTIONS - THE TFRM SECTIONS 8020.10, .20, .30 ARE SUBSTANTIALLY SELF EXPLANATORY. BILLS FOR COLLECTION MUST BE ISSUED TO INDIVIDUALS AND ORGANIZATIONS AT THE EARLIEST POSSIBLE DATE BY WHICH AMOUNTS DUE AID CAN BE

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GREATER THAN 1/10/NET 30. USAIDS SHOULD EXAMINE EXISTING PAYMENT PROCEDURES TO ASSURE THAT ANY DISCOUNTS OFFERED BY SUPPLIERS ARE TAKEN WHENEVER POSSIBLE

(3) LATE PAYMENTS. GOVERNMENT OBLIGATIONS MUST BE PAID IN A TIMELY MANNER. FM WILL ESTABLISH PROCEDURES TO IDENTIFY LATE PAYMENTS PROCESSED BY AID/W. USAIDS SHOULD DEVELOP PROCEDURES TO ASSURE TIMELY PAYMENTS AND TO IDENTIFY LATE PAYMENT EXCEPTIONS. LATE PAYMENTS WILL BE REPORTED TO AID/W/FM ON REQUEST. SECTION 8040.50 SATISFACTORILY IDENTIFIES LATE PAYMENTS WITHIN THE TREASURY DEFINITION.

(4) METHODS OF FINANCING. AID USE OF THE FEDERAL RESERVE LETTER OF CREDIT PROCEDURE IS DESCRIBED IN THE FOLLOWING QUOTE CASH ADVANCES UNQUOTE SECTION OF THIS MESSAGE. OTHER COMMON AID METHODS OF FINANCING INCLUDE (1) DIRECT REIMBURSEMENTS TO BORROWERS AND GRANTEEES, (2) DIRECT LETTERS OF COMMITMENT TO SUPPLIERS AND CONTRACTORS, (3) LETTERS OF COMMITMENT TO U.S. BANKS, AND (4) DIRECT PAYMENTS BY AID PURSUANT TO THE TERMS OF AID DIRECT CONTRACTS, PURCHASE

ORDERS OR GRANT AGREEMENTS. USE OF THESE METHODS MAY BE BRIEFLY SUMMARIZED AS FOLLOWS.

DIRECT REIMBURSEMENTS: AID REIMBURSES THE BORROWER/GRAUNTEE FOR PAYMENTS MADE. THIS METHOD OF FINANCING GIVES AID AN OPPORTUNITY FOR FULL REVIEW OF THE TRANSACTION BEFORE AID FUNDS ARE DISBURSED.

DIRECT LETTER OF COMMITMENT: AID ISSUES DIRECT LETTERS OF COMMITMENT TO SUPPLIERS AND CONTRACTORS AND MAKES PAYMENTS DIRECTLY TO THEM ON RECEIPT OF INVOICES AND SUPPORTING DOCUMENTATION. THE DIRECT LETTER OF COMMITMENT METHOD PERMITS AID TO REVIEW DOCUMENTS BEFORE MAKING PAYMENTS AND AVOIDS BANK CHARGES INCURRED THROUGH USE OF BANK LETTERS OF COMMITMENT.

BANK LETTERS OF COMMITMENT: THE BANK LETTER OF COMMITMENT METHOD UTILIZES ESTABLISHED COMMERCIAL BANKING CHANNELS TO PROCESS PAYMENTS TO SUPPLIERS AND CONTRACTORS. THE BANK L/COMH METHOD OF FINANCING CAN BE USED FOR ALL DOLLAR PROCUREMENT OF EQUIPMENT, MATERIALS AND SERVICES UNDER PROJECT ASSISTANCE AND IS THE USUAL METHOD UNDER COMMODITY IMPORT PROGRAMS, EXCEPT IN THE CASE OF LARGE VOLUME PURCHASES FROM A SINGLE SUPPLIER

DIRECT PAYMENTS: CONTRACTS, PURCHASE ORDERS AND GRANT AGREEMENTS MAY INCLUDE LANGUAGE WHICH PROVIDES FOR DIRECT PAYMENTS BY AID WITHOUT ADDITIONAL COMMITMENT DOCUMENTS.

CAREFUL CONSIDERATION SHOULD BE GIVEN TO THE SELECTION OF THE METHOD OF FINANCING COVERING ANY GIVEN PROCUREMENT ACTION. THE DIRECT LETTER OF COMMITMENT METHOD IS PARTICULARLY APPROPRIATE AND GENERALLY PREFERABLE TO BANK LETTERS OF COMMITMENT FOR BORROWER/GRAUNTEE SERVICE TYPE OF CONTRACTS, HIGH BULK COMMODITY SHIPMENTS AND FOR ANY TYPE OF TRANSACTIONS WHEN IT IS NECESSARY OR ADVISABLE FOR AID TO REVIEW DOCUMENTATION BEFORE MAKING PAYMENTS. AID CAN FREQUENTLY ASSUME A LIMITED ADDITIONAL ADMINISTRATIVE BURDEN THROUGH PERFORMING THE BANKING FUNCTION AND IN RETURN, SUBSTANTIALLY REDUCE BANKING CHARGES OTHERWISE ABSORBED AS PROJECT COSTS. CONVERSELY, BANK LETTERS OF COMMITMENT SHOULD BE USED IF PROJECT IMPLEMENTATION WILL PRODUCE A PROFUSION OF INVOICES FOR SMALL AMOUNTS. IN THE LATTER INSTANCE IT MAY BE ASSUMED THAT THE COST TO AID OF ASSUMING THE ADDITIONAL ADMINISTRATIVE BURDEN WOULD EXCEED THE RELATED BANKING CHARGES

D CASH ADVANCES

(1) GENERAL - TREASURY REGULATIONS STATE THAT QUOTE IT IS THE RESPONSIBILITY OF AGENCIES TO MONITOR THE CASH MANAGEMENT PRACTICES OF THEIR RECIPIENT ORGANIZATIONS TO ENSURE THAT FEDERAL CASH IS NOT MAINTAINED BY THEM IN EXCESS OF IMMEDIATE DISBURSING NEEDS. UNQUOTE. AID POLICY FAVORS PAYMENT TO AID-FINANCED RECIPIENTS ON THE BASIS OF GOODS DELIVERED FOR SERVICES PERFORMED OR TO COVER COSTS ALREADY INCURRED BY THE RECIPIENT. AN EXCEPTION TO THIS POLICY IS MADE FOR NON-PROFIT ORGANIZATIONS AND HOST COUNTRY GOVERNMENTAL INSTITUTIONS, WHICH ARE NORMALLY FUNDED ON AN ADVANCE OF FUNDS BASIS. TREASURY REGULATIONS SPECIFY THAT QUOTE AGENCIES WILL ESTABLISH SUCH SYSTEMS AND PROCEDURES AS MAY BE NECESSARY TO ASSURE THAT BALANCES ARE MAINTAINED COMMENSURATE WITH IMMEDIATE DISBURSING NEEDS, EXCESS BALANCES ARE PROMPTLY RETURNED TO THE TREASURY, AND, EXCEPT WHERE CONTRARY TO LAW, INTEREST EARNED ON FEDERAL FUNDS BY RECIPIENT ORGANIZATIONS IS PROMPTLY PAID OVER TO THE TREASURY UNQUOTE. TREASURY HAS AGREED THAT CERTAIN QUOTE MOBILIZATION ADVANCES UNQUOTE MAY BE MADE TO HOST COUNTRY CONTRACTORS WITHOUT REGARD TO THE QUOTE IMMEDIATE DISBURSING NEEDS UNQUOTE CONCEPT WHEN CERTAIN CONDITIONS PREVAIL. AID PROCEDURES CONCERNING ADVANCES ARE DESCRIBED BELOW:

(2) DEFINITIONS OF QUOTE ADVANCES UNQUOTE AND QUOTE IMMEDIATE DISBURSING NEEDS UNQUOTE. ADVANCES MAY BE GENERALLY DEFINED AS PAYMENTS MADE BEFORE DELIVERY OF GOODS AND SERVICES. PROGRESS PAYMENTS MADE UPON COMPLETION OF WORK ARE NOT ADVANCES UNLESS MADE IN ANTICIPATION OF FUTURE COSTS TO BE INCURRED BY THE RECIPIENT. IF THERE IS DOUBT IN SPECIFIC CASES WHETHER PAYMENTS ENVISAGED IN IFBS OR, IN NEGOTIATED CONTRACTING, IN A CONTRACTOR'S PROPOSAL ARE TO BE VIEWED AS ADVANCES OR PROGRESS PAYMENTS, THE OFFICE OF FINANCIAL MANAGEMENT IN AID/W SHOULD BE CONSULTED. THE TERM QUOTE IMMEDIATE DISBURSING NEEDS UNQUOTE WHEN APPLIED TO FRLCS HAS BEEN DETERMINED BY TREASURY TO BE CASH REQUIREMENTS FOR THREE DAYS. TREASURY TESTS COMPLIANCE WITH THIS LIMITATION BY REQUIRING AGENCIES TO OBTAIN A REPORT OF DAILY CASH BALANCES FROM RECIPIENTS OF FRLCS FOR A TEST MONTH SELECTED BY TREASURY.

AID HAS BEEN ADVISED THAT THE TERM QUOTE IMMEDIATE DISBURSING NEEDS UNQUOTE, WHEN APPLIED TO OTHER METHODS OF FINANCING MAY BE ASSUMED TO BE CASH REQUIREMENTS FOR AS MUCH AS THIRTY DAYS FROM THE DATE THE RECIPIENT RECEIVES THE ADVANCE UNTIL IT IS EXPENDED. WHEN SUCCESSIVE ADVANCES ARE MADE, IT MAY BE NECESSARY TO PROVIDE AN INITIAL ADVANCE OF SOMEWHAT MORE THAN 30 DAYS TO PERMIT TIMELY PROCESSING

AND DISBURSEMENT OF SUCCESSIVE MONTHLY PAYMENTS. THE PERIOD OF THE ADVANCE MAY EXTEND FOR AS LONG AS 90 DAYS IN UNUSUAL INSTANCES WHEN THE AID MISSION OR OFFICE HAS ESTABLISHED THAT PROJECT IMPLEMENTATION WILL BE INTERRUPTED OR IMPEDED BY APPLYING THE 30 DAY GUIDELINE. AID EXPECTS THAT JUDGMENT WILL BE APPLIED BY USAID CONTROLLERS, CONTRACTING OFFICERS AND OTHERS IN DETERMINING THE IMMEDIATE DISBURSING NEEDS OF SPECIFIC RECIPIENTS

(3) ADVANCES TO NON-PROFIT ORGANIZATIONS. TREASURY REGULATIONS REQUIRE THAT WHEN AID HAS, OR EXPECTS TO HAVE, A CONTINUING RELATIONSHIP WITH A RECIPIENT ORGANIZATION FOR AT LEAST ONE YEAR INVOLVING ANNUAL PAYMENTS AGGREGATING AT LEAST 100,000 DOLLARS, THE AGENCY SHALL USE THE FEDERAL RESERVE LETTER OF CREDIT FRLC METHOD.

THE USE OF FRLCS MUST BE COVERED BY A CLAUSE IN THE GRANT, CONTRACT OR OTHER FINANCING AGREEMENT WHEREBY THE RECIPIENT ORGANIZATION COMMITS ITSELF TO (1) INITIATING CASH DRAWDOWNS ONLY WHEN ACTUALLY NEEDED FOR ITS DISBURSEMENTS (2) TIMELY REPORTING OF CASH DISBURSEMENTS AND BALANCES AS

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REQUIRED BY AID AND (C) THE IMPOSITION OF THE SAME STANDARDS OF TIMING AND AMOUNT UPON ANY SECONDARY RECIPIENT ORGANIZATIONS. AID TYPICALLY UTILIZES THE FRLC PROCEDURE FOR PAYMENTS TO GRANT FINANCED, NON-PROFIT ORGANIZATIONS, BUT MAY ALSO USE THE PROCEDURE FOR PAYMENTS TO PROFIT-MAKING ORGANIZATIONS WHEN ALL OF THE ADVANCE PAYMENT LIMITATION REQUIREMENTS HAVE BEEN MET AS DESCRIBED IN THIS MESSAGE. AID DOES NOT REPEAT NOT USE THE FRLC PROCEDURE UNDER LOAN AGREEMENTS.

TREASURY HAS INFORMED AID THAT THE FRLC METHOD OF PAYMENT SHOULD NOT BE USED FOR LOCAL COST FINANCING. THEREFORE, FRLCs WILL BE USED ONLY FOR THE U.S. DOLLAR COSTS OF PROJECTS AND PROGRAMS, AND ONLY THE DOLLAR PORTION OF PROJECT AND PROGRAM COSTS SHOULD BE USED IN DETERMINING WHETHER GRANTEEES AND CONTRACTORS QUALIFY FOR AND ARE ISSUED FRLCs. LOCAL COST FINANCING SHOULD BE PROVIDED BY DIRECT, PERIODIC LOCAL CURRENCY DISBURSEMENTS. LOCAL CURRENCY ADVANCES SHOULD BE LIMITED TO THE MINIMUM AMOUNT NEEDED AND TIMED TO MEET THE IMMEDIATE CASH DISBURSEMENT REQUIREMENTS OF THE RECIPIENT IN CARRYING OUT THE PURPOSES OF THE APPROVED PROJECT OR PROGRAM.

AID DOES NOT FAVOR CONCURRENT USE OF FRLCs AND DIRECT PERIODIC LOCAL CURRENCY DISBURSEMENTS WHEN INDIVIDUAL GRANTS ENTAIL MIXED (DOLLAR/LOCAL CURRENCY) FINANCING. WHEN SUCH FINANCING IS PROVIDED, AID'S PREFERENCE IS TO MAKE DIRECT DISBURSEMENTS IN DOLLARS AND LOCAL CURRENCY.

ADVANCES MAY BE MADE IN ACCORDANCE WITH PLANS SUBMITTED TO AID BY THE RECIPIENT ORGANIZATION. SUCH PLANS SHOULD DEMONSTRATE TO AID'S SATISFACTION THAT FUNDS TRANSFERRED TO THE ORGANIZATION WILL BE PROMPTLY DISBURSED FOR APPROVED PROJECT OR PROGRAM COSTS. THE PLANS SHOULD BE SUBJECT TO PERIODIC REVIEW AND MODIFICATION, AND THE ORGANIZATIONS SHOULD REPORT REGULARLY ON THE TIMELINESS AND PROPRIETY OF FUND UTILIZATION. TREASURY APPROVAL OF THE DIRECT PERIODIC DISBURSEMENT METHOD FOR DOLLAR COSTS OF CONTRACTS AND GRANTS WHICH INCLUDE FINANCING OF DOLLAR AND LOCAL COSTS WILL BE REQUESTED WHEN AID'S CASH MANAGEMENT PROCEDURES ARE SUBMITTED TO TREASURY FOR REVIEW AND COMMENT.

BECAUSE OF THE DIVERSITY OF AID PROGRAMS AND PROJECTS, IT IS NOT POSSIBLE TO ANTICIPATE ALL REQUIREMENTS FOR ADVANCE PAYMENTS TO NON-PROFIT AND INTERNATIONAL ORGANIZATIONS AND TO DESCRIBE APPROPRIATE VARIATIONS IN PROVIDING ADVANCES. FM WILL PROVIDE ADDITIONAL GUIDANCE FOR PROJECTS AND PROGRAMS WHICH APPEAR TO REQUIRE ADVANCE PAYMENT PROCEDURES SUBSTANTIALLY DIFFERENT THAN THOSE DESCRIBED IN THIS MESSAGE.

ADVANCES TO GOVERNMENTS. ASSISTANCE PROVIDED THROUGH SPECIAL PROGRAM GRANTS TO RECIPIENT GOVERNMENTS MAY OCCASIONALLY REQUIRE ADVANCES FOR PURPOSES OTHER THAN QUOTE IMMEDIATE DISBURSEMENT NEEDS UNQUOTE; E.G. PROGRAMS FOR BUDGET SUPPORT. WHEN THE PURPOSE OF SUCH A PROGRAM IS TIED TO AND MET BY THE ADVANCE DISBURSEMENT OF FUNDS, A DETERMINATION MAY BE MADE THAT THE PROGRAM PURPOSE PRECLUDES IDENTIFICATION OF IMMEDIATE DISBURSEMENT NEEDS. PROGRAM PLANNING DOCUMENTS SHOULD CLEARLY ESTABLISH THE JUSTIFICATION FOR PROVIDING SUCH ADVANCES.

ADVANCES FOR PURPOSES OTHER THAN IMMEDIATE DISBURSING NEEDS MAY ALSO BE MADE TO GOVERNMENTS UNDER THE MODIFIED FIRED AMOUNT REIMBURSEMENT PROCEDURE WHEN IT HAS BEEN DETERMINED THAT SUCH ADVANCES PROVIDE AN ESSENTIAL INCENTIVE TO ACHIEVE ACCEPTANCE OF THE PROCEDURE. MISSION CONTROLLERS, PROJECT OFFICERS, AND OTHERS SHOULD EXERCISE PRUDENT JUDGMENT IN DETERMINING THE AMOUNT, FREQUENCY AND DURATION OF

FAR ADVANCES.

(4) ADVANCES TO PROFIT-MAKING ORGANIZATIONS.

(A) AID DIRECT CONTRACTS. AID POLICY AS SET OUT IN CHAPTER 15, MB 1 SUPPLEMENT B, STATES THAT WITH RESPECT TO DIRECT AID CONTRACTS, QUOTE ADVANCE PAYMENTS TO PROFIT-MAKING ORGANIZATIONS SHOULD BE AUTHORIZED ONLY IF NO OTHER MEANS OF ADEQUATE FINANCING IS AVAILABLE TO THE CONTRACTOR

UNQUOTE. AID EXPECTS THAT PROFIT-MAKING ORGANIZATIONS WILL FINANCE DIRECT AID CONTRACTS WITH THEIR OWN RESOURCES, OR ARRANGE TO OBTAIN APPROPRIATE FINANCING THROUGH COMMERCIAL CHANNELS. AID RECOGNIZES THAT IT IS OCCASIONALLY NECESSARY TO PROVIDE MOBILIZATION AND OTHER ADVANCES IN ORDER TO AVOID RESTRICTING COMPETITION, ESPECIALLY ON CONTRACTS WITH SMALL BUSINESS CONCERNS. ADVANCES UNDER DIRECT AID CONTRACTS TO PROFIT-MAKING ORGANIZATIONS MUST BE AUTHORIZED BY AA/SER.

(B) HOST COUNTRY CONTRACTS. AID POLICY HAS BEEN SOMEWHAT LESS RESTRICTIVE WITH RESPECT TO HOST COUNTRY (BORROWER/GRANTEE) CONTRACTS. AGAIN, CITING MB 1, SUP. B, THE POLICY HAS BEEN THAT QUOTE ADVANCE OR PROGRESS PAYMENTS MAY BE AGREED UPON UNDER HOST COUNTRY CONTRACTS WHEN SUCH PAYMENTS ARE NECESSARY FOR DELIVERY OR PERFORMANCE. THE NECESSITY FOR ADVANCE OR PROGRESS PAYMENTS MOST OFTEN ARISES UNDER LARGE CONTRACTS FOR CUSTOM-MADE, SPECIALLY FABRICATED EQUIPMENT, AND LARGE CONSTRUCTION CONTRACTS (MOBILIZATION COSTS) WHERE THE SUPPLIER OR CONTRACTOR IS REQUIRED TO MAKE LARGE CASH OUTLAYS (PERHAPS EXCEEDING AVAILABLE CASH) FOR EQUIPMENT, MATERIALS, OR PERSONNEL IN ADVANCE OF PERFORMANCE OR DELIVERY UNQUOTE. AID CURRENTLY PROVIDES MAJOR MOBILIZATION ADVANCES TO U.S. AND CODE 941 HOST COUNTRY CONTRACTORS. SUCH MOBILIZATION ADVANCES ARE BASED ON COMMERCIAL PRACTICE. AID CONSIDERS THAT SUCH MOBILIZATION ADVANCES ARE ADVANTAGEOUS IN THAT THEY (1) AVOID RESTRICTING COMPETITION AND (2) REDUCE CONTRACT COSTS. AID NORMALLY PREFERS TO PROVIDE MOBILIZATION ADVANCES IN SINGLE, LUMP SUM PAYMENTS AS OPPOSED TO INCREMENTAL PAYMENTS BECAUSE (1) CONTRACTORS NEED AN INCUCEMENT TO COMPENSATE FOR THE RISKS OF ENTERING INTO AGREEMENTS WITH THE GOVERNMENTS OF LESS DEVELOPED COUNTRIES, (2) SMALL BUSINESS COMPETITORS ARE GRAVELY CONCERNED ABOUT THE RISK OF PAYMENT DELAYS AND (3) INCREMENTAL PAYMENTS MAY CONSTITUTE A DEPARTURE FROM COMMERCIAL PRACTICE. THE TREASURY DEPARTMENT HAS AGREED THAT ALTHOUGH INCREMENTAL ADVANCES ARE DESIRABLE FOR PURPOSES OF CASH MANAGEMENT, LUMP SUM MOBILIZATION ADVANCES MAY BE PROVIDED SO LONG AS (1) THERE IS TRUE COMPETITION IN THE BIDDING PROCESS AND (2) THE U.S. GOVERNMENT (AID) OBTAINS THE ADVANTAGE OF REDUCED CONTRACT COSTS AS A CONSEQUENCE OF PROVIDING THE ADVANCE. AID OFFICIALS WHO APPROVE HOST COUNTRY IFB'S AND CONTRACTS MUST CONSIDER THE REASONABLENESS OF PROPOSED MOBILIZATION ADVANCES AND DETERMINE THAT (1) A MOBILIZATION ADVANCE IN THE AMOUNT PROPOSED IS NECESSARY TO AVOID RESTRICTING COMPETITION, AND (2) IT MAY BE REASONABLY ASSUMED THAT A COMPENSATING FINANCIAL BENEFIT WILL ACCRUE TO AID AND THE HOST GOVERNMENT AS A CONSEQUENCE OF PROVIDING THE ADVANCE.

(C) CONTRACTUAL AGREEMENTS. IN ACCORDANCE WITH SECTION 8050.20, ALL DIRECT CONTRACTUAL ARRANGEMENTS WITH ADVANCE PAYMENT RECIPIENT ORGANIZATIONS WILL PROVIDE THAT ADVANCE PAYMENTS WILL BE MADE ONLY AT TIMES AND IN AMOUNTS NECESSARY TO MEET IMMEDIATE DISBURSING NEEDS. IN ORDER TO QUALIFY FOR ADVANCED ORGANIZATIONS MUST SUBMIT PLANS FOR THE USE AND TIMING OF ADVANCES. RECIPIENT ORGANIZATIONS WILL BE REQUIRED TO REPORT REGULARLY ON THE USE OF ADVANCES AND WILL DEMONSTRATE THROUGH SUCH REPORTING THAT BALANCED

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OF ADVANCES ARE MAINTAINED IN AMOUNTS COMMENSURATE WITH IMMEDIATE DISBURSING NEEDS, THAT EXCESS BALANCES ARE PROMPTLY RETURNED TO AID AND THAT INTEREST EARNED ON ADVANCES OF AID FUNDS HAS BEEN REMITTED TO AID.

E. CASH HELD OUTSIDE TREASURY. THIS SECTION (8060) IS SELF-EXPLANATORY. NOTE THAT FUND BALANCES ARE TO BE MAINTAINED IN LIMITED AMOUNTS GOVERNED BY THE QUOTE IMMEDIATE DISBURSEMENT NEEDS UNQUOTE CONCEPT.

F. FOREIGN CURRENCY. SECTION 8070 OF THE TFRM IS GENERALLY SELF-EXPLANATORY. NOTE THAT THE SAME CASH MANAGEMENT POLICIES APPLICABLE TO DOLLAR DISBURSEMENTS ARE ALSO APPLICABLE TO FOREIGN CURRENCY DISBURSEMENTS.

IN ACCORDANCE WITH SECTION 8070.80, EVERY EFFORT WILL BE MADE TO INCLUDE IN CONTRACTS A REQUIREMENT THAT OBLIGATIONS WILL BE MADE PAYABLE IN FOREIGN CURRENCY OF EXCESS AND NEAR-EXCESS CURRENCY COUNTRIES TO THE EXTENT THAT THE CONTRACTOR MAY BE EXPECTED TO REQUIRE SUCH CURRENCY FOR NECESSARY EXPENSES IN THE COUNTRY INVOLVED. IN APPLYING THIS REQUIREMENT, AID WILL CONSIDER REQUESTS FOR OMISSION OF CERTAIN CATEGORIES OF LOCAL COSTS FROM THE REQUIREMENTS OF THIS SECTION WHEN CONTRACTORS JUSTIFY PAYMENT OF SUCH COSTS IN EXCESS CURRENCIES AS ADMINISTRATIVELY IMPRACTICAL, OR WHEN AID DETERMINES AT THE TIME A PROJECT IS APPROVED THAT USE OF EXCESS OR NEAR-EXCESS CURRENCIES IS NOT CONSISTENT WITH THE OBJECTIVES TO BE ACHIEVED.

G. CONTRACT AMENDMENTS. SECTION 8080.20 OF THE TFRM REQUIRES THAT QUOTE PROVISIONS OF EXISTING CONTRACTS AND OTHER FORMAL AGREEMENTS NOT IN COMPLIANCE WITH THE REGULATIONS ON THE DATE OF RELEASE, WHICH CONTRACTS ARE SUBJECT TO RENEGOTIATION AND AMENDMENT, WILL BE AMENDED UPON THE NEXT RENEGOTIATION OF SUCH ARRANGEMENTS UNQUOTE. ACCORDINGLY, CONTRACTING OFFICERS AND OTHERS WHO APPROVE CONTRACTS AND OTHER AGREEMENTS WILL CONSIDER AND WHEN PRACTICAL INTRODUCE THESE CASH MANAGEMENT PROVISIONS WHEN EXISTING CONTRACTS AND AGREEMENTS ARE NEXT AMENDED.

H. REPORTING. A SEPARATE MESSAGE WILL IDENTIFY THE SPECIFIC REPORTING REQUIREMENTS NECESSARY TO MONITOR THESE CASH MANAGEMENT PROCEDURES IN COMPLIANCE WITH SECTIONS 8080.30 AND .40.

I. AUDIT THE AID AUDITOR GENERAL WILL TEST AGENCY SYSTEMS AND PROCEDURES AS DEEMED NECESSARY AND ASSESS COMPLIANCE WITH TREASURY REGULATIONS AND THESE CASH MANAGEMENT PROCEDURES. AUDIT REPORTS WHICH INCLUDE FINDINGS AND RECOMMENDATIONS RELATING TO THE SUBJECT OF CASH MANAGEMENT WILL BE PROVIDED TO TREASURY UPON REQUEST, IN ACCORDANCE WITH SECTION 8080.40.

III. APPLICABILITY

CASH MANAGEMENT. AID POLICY GUIDELINES AND THE PROCEDURES DESCRIBED IN THIS MESSAGE ARE APPLICABLE TO U.S. DOLLARS AND FOREIGN CURRENCIES AVAILABLE TO OR HELD BY OR FOR THE CREDIT OF AID TO FINANCE PROGRAMS, OPERATIONS AND ACTIVITIES, REGARDLESS OF HOW IMPLEMENTED, EXCEPT WHERE PRECLUDED BY LAW OR ADVISED BY THE ADMINISTRATOR, THE DEPUTY ADMINISTRATOR OR THE AID CONTROLLER

QUATHALAH FOR USAID AND ROCAF
KARACHI FOR AAG AND IIC
NAIROBI FOR USAID AND REDSO/EA VANCE

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PART IV

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TO - AIDTO CIRCULAR A - 24

IV.1

E.O. 11652: N/A

FROM - AID/W

SUBJECT - Project Implementation

REFERENCE - (A) PD-57, dtd. 7/1/74, (B) AIDTO Circ. A-466, dtd. 8/2/75,
(C) Chapter 9, Handbook 3, dtd. 8/19/76, (D) AIDTO Circ. A-268
dtd. 7/15/77, (E) STATE 195386, dtd. 8/17/77

A. INTRODUCTION

Ref. (D) replaced PD-57 and AIDTO CIRC A-466, and superseded relevant parts of Chapter 9, HB 3. It also established guidelines covering length and authorization of projects and extensions of terminal dates. In addition, it continued (provisionally) the use of the Project Assistance Completion Date (PACD), but noted that a decision had not been reached in AID/W whether to retain the PACD or use some other definition or definitions of when the end of a project has been reached. Mission suggestions on this point were solicited. Ref. (E) was a reminder to the field that Mission responses on the project terminal date would help assure that field preferences would be reflected in any final decision.

Forty-one missions did respond, with the weight of opinion favoring continuance of the PACD. Their views along with those in AID/W were carefully considered and AID/W has decided to continue using the PACD. Therefore, there will be no change in current guidelines regarding the project terminal date.

There still exists a need to follow a project until it is completed as described in the Project Agreement. In most cases, this will be the same period as that bounded by the PACD. However, where the project completion comes later than the PACD, as could be the case if inputs from the host country or other donor are due subsequent to the PACD, or if work to be performed by the host country or others is incomplete, then the Mission or

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DRAFTED BY <i>Norman Cohen</i> :gnt	OFFICE PFC/DPRE	PHONE NO. 28592	DATE 12/16/77	APPROVED BY: <i>Alexander Shakow</i>
AID AND OTHER CLEARANCES PFC/DPRE: <i>Esman</i> , A/AID:HGruppe, GC:CStepenson, GC:MBall MP/DPC:WFradenburg(Info) SER/FM:DVerner(Info) ASIA:ALove(Info) AFR/DR:JKell; NE/CD:STaubenblatt (Info) LA/DR:MBrown (Info) PHA/PROG:DMcMakin (Info) (Info); TA/PPU:RSimpson(info)				

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responsible AID/W office must be prepared to monitor the project through that period; to document in the Project Completion Report its monitoring and reporting plans; and to identify work remaining to be done, by whom and in what time frame. Instructions for the Project Completion Report have been changed in this message to reflect the above.

B. APPLICABILITY

This Airgram supersedes AIDTO CIRC. A-268, which replaced PD-57 and AIDTO CIRC. A-466 and superseded relevant parts of Chapter 9, Handbook 3. Its guidance applies to all A.I.D. dollar-financed projects to foreign governments, foreign government agencies and international organizations having membership consisting primarily of foreign governments, whether financed by loans or grants, and whether they are in the nature of capital or technical assistance or research projects, except that some specialized activities are excluded. Except as provided in paragraph E, below non-project assistance is not covered by this guidance, nor are certain specialized activities such as: grants under Section 214 of the Foreign Assistance Act of 1961, as amended; Housing Guaranty projects discussed in Handbook 7; Operational Program Grants; grants under Handbook 15 - Grants; or activities under International Disaster Relief or Contingency Fund appropriations. Guidance in this message is being incorporated in Handbook 3, Part I

C. DEFINITIONS

1. Implementation Period

Project implementation begins with the obligation of A.I.D. funds by the signing of a Project Agreement for bilateral projects or the incurrence of the initial obligation for non-bilateral projects. It ends on the date all AID-financed services under the project have been performed and all AID-financed goods under the project have been furnished. This date is the Project Assistance Completion Date (PACD), which is set in the Project Agreement or other obligating document. See Handbook 3, Chapter 10 on Agreements.

2. Monitoring Period

Although the last date for furnishing the project inputs, in money or in kind, which the other party (or parties) to the Project Agreement has (or have) agreed to provide is frequently the same as the PACD, the implementation plan may call for a later date. In such a case, the period during which A.I.D. monitors the project will not only include the entire Implementation Period, but also the period between the PACD and the date by which inputs to be furnished by others have been completed. In either case, limited monitoring of the project should continue further, to the extent recommended in the Project Completion Report and approved by the official having that authority. (See Paragraph F.3., below)

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3. Length of Project

The length of Project, as the term is used here, is defined as the length of the Implementation Period. Its end is the PACD, 1/ stipulated in the Project Agreement.

D. GUIDELINES FOR DETERMINATION OF LENGTH OF PROJECT

The design of a project, including planning for its implementation and for the timing of contributions to the project by the parties to the Project Agreement, whether to be furnished in money or in kind, will result in a determination of (1) the date by which A.I.D. will have completed its contributions for the project (the PACD) and, (2) if later, the date by which all other contributions to the project will have been completed. The length of a project from the signing of the Project Agreement through the PACD should normally not exceed six (6) years; a somewhat longer period, if required by the implementation plan, may be justified in the Project Paper, but if a substantially longer period is necessary to achieve project objectives, serious consideration should be given to designing a project in phases, the first of which could be completed within or close to a period of six years. 2/ Proceeding to the next phase would be contingent on a satisfactory evaluation of the previous phase. However, pending further guidance from AID/W, funds made available on a grant basis under Chapter 1 of Part I of the Foreign Assistance Act (Sections 103-121) and funds made available under Chapter 4 of Part I (Security Supporting Assistance - Sections 531-533) may not be obligated or committed to be expended over a period exceeding five years at any one time. (This restriction does not rule out appropriate use of incrementally-funded agreements, where a commitment is not made for future increments beyond this time span).

AUTHORIZATION OF PROJECTS

1. Projects 3/, or substantive amendments, meeting the following criteria must be authorized by the Administrator or Deputy Administrator:

- (a) for new projects,
 1. life-of-project funding, exceeds \$10 million;
 2. the project raises, in the judgment of the responsible Assistant Administrator or another Assistant Administrator, substantive policy or program questions; or
 3. implementation of the project requires a waiver of AID policies or regulations not delegated to the responsible Assistant Administrator, unless the Administrator approved the waiver prior to authorization.

1/ For some existing Loan Agreements the relevant date is the Termination Disbursement Date, and for some existing grant agreements the relevant date is the Final Contribution Date.

2/ FAA Section 110(b) limits the disbursement period for bilateral grant-financed capital projects to three (3) years; that section applies to Development Assistance provided through the functional accounts under Sections 103 thru 106 and not to Supporting Assistance, and excepts grants to countries determined to be Relatively Least Developed Countries (based on the UN Conference on Trade and Development List of RLDCs).

3/ As used here, "project" means a total, discrete activity with finite results whether containing a single or multiple activities.

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(b) for substantive amendments, the project was originally authorized by the Administrator or Deputy Administrator.

2. Assistant Administrators have the authority to authorize all projects within their area of responsibility which do not meet the criteria listed in Paragraph 1, above.

3. All project authorizations to be signed by the Administrator or Deputy Administrator, all substantive amendments of such projects and all projects to be reviewed by the DLC, require the clearance of AA/PPC or his designee.

F. PROJECT ADMINISTRATION

1. General

The primary responsibility for the administration of projects (including implementation, monitoring and evaluation) is placed in the major operating units of the Agency. These include the Regional Bureaus and their field missions, the Development Support Bureau, and the Private and Development Cooperation Bureau. Accordingly, the Assistant Administrators for these Bureaus are, subject to any limitations in the Delegations of Authority issued to them and to certain reporting obligations, responsible for the design and administration of projects in the areas of their jurisdiction. Regional Assistant Administrators are encouraged to delegate responsibilities to field missions consistent with the availability and capability of field staff to discharge them.

2. Extension of Terminal Dates

All terminal dates, as those for signing Project Agreements, meeting initial conditions precedent to disbursement, requesting disbursement authorizations and performing services and furnishing goods, are important benchmarks in the administration of projects. They are the result of a detailed analysis of the entire implementation process. Normally, terminal dates which may be imposed for signing Project Agreements should not exceed 120 days, and terminal dates for meeting initial conditions precedent should not exceed 90 days. Terminal dates, therefore, should not be routinely extended, but extensions should be granted only after an analysis of the events leading to a proposed extension and of steps which might lead to an acceleration of project implementation. The responsible Assistant Administrators or their designees are authorized to extend terminal dates and they may redelegate authority to extend terminal dates. For signing Project Agreements and for meeting initial conditions precedent, delegations to Mission Directors may be for a cumulative period of not to exceed six months for each. For requesting disbursing authorizations and for completion of performing services and furnishing goods (the PACD), delegations to Mission Directors to extend these final dates may not exceed a cumulative period of more than one year for each. In both instances, for extensions beyond these dates, the

authority is reserved to the Bureau Assistant Administrators or their designees. Where Bureau AA approval is required due to extensions beyond these dates, copies of action memoranda requesting approval shall be sent to the Chairperson of the Project Pipeline Review Team. Before authorizing the extension of a PACD, the responsible Assistant Administrator or designee, or the Mission Director, shall carefully review all relevant facts and assure himself/herself that such extension is necessary to complete the project and is in the best interest of the project.

3. Project Completion Reports

(a) Within three months from the expiration of the PACD (including any extension thereof), the Mission or the Bureau in AID/W responsible for implementation of a project, will prepare a Project Completion Report and submit it to the AA or authorized designee of the responsible Bureau in Washington for review and approval of the recommendations.

(b) The Project Completion Report will contain sections dealing, as appropriate, with the following subjects - Note: In those projects where the Monitoring Period as defined above is longer than the Implementation Period -- that is, project inputs from others are delivered subsequent to the PACD -- special attention should be given to items (2), (4), and (5) below, in order that the project be monitored until it is completed as described in the Project Agreement. Specifically, these items should cover AID's monitoring and reporting plans during the gap between the two periods, and should identify what work remains to be done, by whom and over what time span, until completion of the project.

(1) Summary of services performed and goods furnished by major project component by contributor (AID, host country, and others);

(2) Status of completion of project elements involving construction, import of materials and supplies and technical assistance;

(3) Summary of accomplishments of project in light of the purpose stated in the Project Paper;

(4) Further inputs into project to be provided by others and expected completion of such inputs; and

(5) Recommendations on extent and period of further monitoring and reporting and on further project evaluation required, with special attention to any conditions or covenants included in Project Agreement, including their validity for future project operations.

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c. The Project Completion Report is intended to summarize the status of the project as of the PACD; it is not intended to evaluate the project achievements. Ex post facto evaluation, if included in the recommendation section, will be a separate undertaking.

4. Annual Report of Project Execution and Implementation (Report Control Symbol W-1050/1)

a. Bureau Assistant Administrators will be responsible for maintaining an effective management system for the projects within their jurisdiction. Included will be the regular fiscal and accounting reports required by the Agency, site inspections, progress and evaluation reports, and consultation with the borrowers/grantees. In addition, the Assistant Administrators will be responsible for annual status reviews of the project portfolios in their regions so that long-range problems can be promptly identified and solutions developed. Bureaus should conduct reviews more frequently, if needed.

b. Drawing on these reviews, the Assistant Administrators will submit an annual report (Report Control Symbol W-1050/1) to the Administrator for the projects under their jurisdiction. The information contained in the Report is to be as of the end of the fiscal year. Bureaus are to submit their reports to the Office of Financial Management (SER/FM) by January 15 of each calendar year. SER/FM will convene the Project Pipeline Review Team (composed of representatives from SER/FM, PPC/DPRE and GC) to consider the reports along with other data which may be required for analysis of the Agency's project portfolio. The Pipeline Team will meet with the Bureaus as may be necessary to review and evaluate the Bureaus' performance in the management of their portfolios. The Pipeline Review Team will prepare a report on its evaluation and transmit its report together with the reports from the Bureaus to the Administrator by February 28 of each calendar year.

VANCE

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DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT IV.2.a
WASHINGTON D C 20522

ASSISTANT
ADMINISTRATOR

Director, Office of Technical Support
and Deputy Director, Office of Technical
Support, Bureau for Near East

Redelegation of Authority No. 162-9

Pursuant to the authority delegated to me by A.I.D. Delegations of Authority No. 5, dated December 28, 1961 (27 FR 449), as amended, with respect to Loan Agreements; No. 38 dated June 21, 1977 (42 FR 31511) with respect to Project Agreements, Trust Fund Agreements and Grant Agreements; No. 40 dated March 5, 1978 (43 FR 11293), with respect to Source, Origin and Nationality for Procurement; and No. 113 dated October 15, 1975 (40 FR 49682), I hereby redelegate to each of the individuals listed above, for the programs, projects, or activities with the responsibility of the Office of Technical Support, authority to exercise any of the following functions assigned to me retaining for myself concurrent authority to exercise any of the functions herein re-delegated.

1. Authority to negotiate and execute loan and grant agreements (including project agreements) and amendments thereto, with respect to loans and grants authorized under the Foreign Assistance Act of 1961, as amended (the Act) in accordance with the terms of the authorizations of such loans or grants.

2. Authority to implement loan and grant agreements (including project agreements) (hereinafter referred to as "such agreements") in accordance with Regulations, Policies and Procedures now or hereafter established or modified and promulgated within A.I.D. with respect to loans and grants authorized under the Act.

This authority shall include the following:

(a) Authority to prepare, negotiate, sign and deliver letters of implementation;

(b) Authority to review and approve documents and other evidence submitted by borrowers or grantees in satisfaction of conditions precedent to financing under such agreements;

(c) Authority to negotiate, execute and implement all documents ancillary to such agreements;

(d) Authority to sign or approve Project Implementation Orders;

(e) Authority to review and approve the terms of country contracts and contractors, amendments and modifications to such contracts, and invitations for bids and requests for proposals with respect thereto;

(f) Authority to waive source, origin and nationality requirements for individual transactions of goods and services up to \$500,000 (exclusive of transportation cost) and of motor vehicles up to \$25,000; and

(g) Authority to extend terminal dates for signing such agreements, meeting conditions precedent and disbursement authorizations, terminal disbursement dates, and Project Assistance Completion Dates (PACD's).

3. The authorities enumerated above may be redelegated for specific actions to Mission Directors or Ambassadors for countries within my area of responsibility.

4. The following authorities enumerated above may be redelegated by the individuals listed above to persons within the Office of Technical Support, Bureau for Near East;

(a) Authority described above in paragraph 1, with respect to negotiating loan and grant agreements and amendments related thereto;

(b) Authority described above in paragraph 2 to the following extent:

(1) Authority to prepare and negotiate letters of implementation;

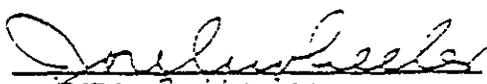
(2) Authority to review and approve documents and other evidence submitted by borrowers or grantees in satisfaction of conditions precedent to financing under such agreements;

(3) Authority to review and approve the selection of host country contractors, amendments and modifications to country contracts of up to a 10% increase in total contract price and invitations for bids and requests for proposals with respect to such contracts financed by funds made available under such agreements.

(4) Authority to negotiate and implement documents ancillary to such agreements.

5. This Relegation of Authority is effective immediately.

Date: September 20, 1978


Joseph G. Wheeler
Bureau for Near East

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DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D. C. 20523

IV.2.b

ASSISTANT
ADMINISTRATOR

Director, Office of Project Development
and Deputy Director, Office of Project
Development, Bureau for Near East

Redelegation of Authority No. 162-10

Pursuant to the authority delegated to me by A.I.D. Delegations of Authority No. 5, dated December 28, 1961 (27 FR 449), as amended, with respect to Loan Agreements; Delegation of Authority No. 23, dated December 28, 1962 (23 FR 563), as amended; No. 38 dated June 21, 1977 (42 FR 31511) with respect to Project Agreements, Trust Fund Agreements and Grant Agreements; No. 40 dated March 5, 1978 (43 FR 11293), with respect to Source, Origin and Nationality for Procurement, and No. 113, dated October 15, 1975 (40 FR 49582), I hereby redelegate to each of the individuals listed above, for the programs, projects or activities within the responsibility of the Office of Project Development, authority to exercise any of the following functions assigned to me retaining for myself concurrent authority to exercise any of the functions here redelegated:

1. Authority to negotiate and execute loan and grant agreements (including project agreements) and amendments thereto, with respect to loans and grants authorized under the Foreign Assistance Act of 1961, as amended (the Act) in accordance with the terms of the authorizations of such loans or grants.

2. Authority to implement loan and grant agreements (including project agreements), (hereinafter referred to as "such agreements") in accordance with Regulations, Policies and Procedures now or hereafter established or modified and promulgated within A.I.D. with respect to loans and grants authorized under the Act, loans authorized by the Board of Directors of the Corporate Development Loan Fund and loans authorized under Section 104(e) of the Agriculture Trade Development and Assistance Act of 1964, as amended (Public Law 480). This authority shall include the following:

- (a) Authority to prepare, negotiate, sign and deliver letters of implementation;
- (b) Authority to review and approve documents and other evidence submitted by borrowers or grantees in satisfaction of conditions precedent to financing under such agreements;

- (c) Authority to negotiate, execute and implement all documents ancillary to such agreements;
- (d) Authority to sign or approve Project Implementation Orders;
- (e) Authority to review and approve the terms of country contracts and contractors, amendments and modifications to such contracts and invitations for bids and requests for proposals with respect thereto;
- (f) Authority to waive source, origin and nationality requirements for individual transactions of goods and services up to \$500,000 (exclusive of transportation cost) and of motor vehicles up to \$25,000; and
- (g) Authority to extend terminal dates for signing such agreements, meeting conditions precedent and disbursement authorizations, terminal disbursement dates, and Project Assistance Completion Dates (PACD's).

3. The authorities enumerated above may be redelegated for specific actions to Mission Directors or Ambassadors for countries within my area of responsibility.

4. The following authorities enumerated above may be redelegated by the individuals listed above to persons within the Office of Project Development, Bureau for Near East:

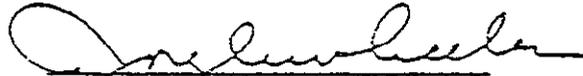
- (a) Authority described above in paragraph 1, with respect to negotiating loan and grant agreements and amendments related thereto;
- (b) Authority described above in paragraph 2 to the following extent:
 - (1) Authority to prepare and negotiate letters of implementation;
 - (2) Authority to review and approve documents and other evidence submitted by borrowers or grantees in satisfaction of conditions precedent to financing under such agreements;
 - (3) Authority to review and approve the selection of host country contractors, amendments and modifications to country contracts of up to a 10% increase in total contract price and invitations for bids and requests for proposals with respect to such contracts financed by funds made available under such agreements.

(4) Authority to negotiate and implement documents ancillary to such agreements.

5. Redelegation of Authority No. 162-6 from the Assistant Administrator, Bureau for Near East, to the Director and Deputy Director, Office of Capital Development, dated November 30, 1976 is hereby revoked.

6. Any official actions taken prior to the effective date hereof by officers duly authorized pursuant to the redelegation revoked hereunder are hereby continued in effect unless modified or revoked by an official to whom I have delegated relevant authority in this redelegation.

7. This Redelegation of Authority is effective immediately.



Joseph B. Wheeler
Assistant Administrator
Bureau for Near East

Date: *September 20, 1978*

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON D. C. 20523

ASSISTANT
ADMINISTRATOR

October 11, 1977

MEMORANDUM FOR ASSISTANT ADMINISTRATORS AND OFFICE HEADS

FROM : AA/LEG, Jean P. Lewis *J. P. Lewis*

SUBJECT: Congressional Telephone Inquiries

Attached is a copy of A.I.D. Form 3-219, "Congressional Telephone Request", which should be filled out and forwarded to AA/LEG when oral responses are made to telephone inquiries from a Member of Congress or Congressional staff member.

Since often Members of Congress or their staff are telephoning you and your staff directly in connection with hearings, trips, constituent problems, etc., I would appreciate your reminding your staff at your next staff meeting that it is important to keep LEG informed at all times.

Attachment

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OFFICE		DATE
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NATURE OF REQUEST		

DATE	ACTION TAKEN

AID 3 219 (3-65) CONGRESSIONAL TELEPHONE REQUEST

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For each address check one ACTION INFO

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TO - AIDTO CIRCULAR A 09

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LIST G.
FROM - AID/W - GC, Markham Ball

SUBJECT - Freedom of Information Act (FOIA)
Requests for Host Country Contracting Documents

REFERENCE -

1. There has been an increase in the number of requests for documents related to host country contracting. Some of the requests are concerned with specific procurements while others seek general information regarding host country commercial practices.
2. This airgram is intended to provide guidance as to the applicability of the FOIA and its exemptions to such requests.
3. In some cases, Missions have attempted to withhold such documents on the basis that they originated or were the property of the host government. AID is not permitted to withhold documents on this basis if they are identified records in the agency's possession.
4. There are FOIA Exemptions, however, which may apply to requests for release of host country contracting documents. Exemption 4 of the Act which covers confidential business information is the exemption most often applied to country contracting documents. To be invoked it must be demonstrated that disclosure will result in substantial competitive harm to the host government or commercial party involved. Categories of information which may be protected by exemption 4 are trade secrets, technical designs or data of value to a company or to its competitors; internal cost information; information on financial condition the release of which might injure the company; resumes of key company personnel (also protectible

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PAGE OF PAGES

DRAFTED BY JW Miller <i>JM</i>	OFFICE GC/EPA	PHONE NO. 28219	DATE 1/5/79	APPROVED BY: GC, Markham Ball <i>Kelly Kammerer for</i>
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A. I. D. AND OTHER CLEARANCES

OPT:ADadian (draft)
GC/EPA:KFries *qes*

SER/MP/TWO:WJFradenburg *WJF*

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CONTINUATION

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under exemption 6 as information about individuals disclosure of which would be a clearly unwarranted invasion of privacy) and data on how they are utilized; and information on customers, sources of supply or business plans that are valuable to a company or host government and not known to competitors.

As with other FOIA exceptions, the Agency must release reasonably segregable nonexempt portions of a requested document. For example, those parts of a contractor's proposal which are not protectible must be released.

It should be noted that the passage of time tends to erode the applicability of exemption 4 to particular documents. Thus, a document that would disclose future business plans loses its confidential nature after the plans become public or have obviously become obsolete. In addition, once a contract is signed the possibility of competitive harm may no longer exist.

5. It should be noted that invoking an exemption is, in most cases, a discretionary matter and a document otherwise covered by an exemption can still be made available if the agency so decides. The Attorney General in May 5, 1977, letter to all Departments and Agencies stated that documents should not be withheld, unless it is important to the public interest to do so, even if there is some arguable legal basis for the withholding and that Justice will defend FOIA suits only when disclosure is demonstrably harmful, even if the documents technically fall within the FOIA exemptions.

6. The FOIA does not require an agency to obtain documents that are not in its possession or to retain possession of documents it no longer wishes or is otherwise required to keep. Thus, once a Mission has taken the necessary action (review/approval/disapproval) on a country-contract related document submitted by the host government, the FOIA would not prohibit the Mission from returning the documents to the host government. Of course, there may be other considerations (e.g., needed for payment purposes, for evaluation or audit or for orderly project implementation) that would require the Mission to retain the document.

7. Questions concerning the FOIA and its applicability to documents furnished by host governments should be directed to AID/W - OPA, Arnold Dadian.

VANCE



EXECUTIVE OFFICE OF THE PRESIDENT

OFFICE OF MANAGEMENT AND BUDGET

WASHINGTON, D.C. 20503

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OFFICE OF FEDERAL
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EXECUTIVE SECRETARIAT

ACTION: OPA as appropriate
INFO: Gilligan/Nooter logs
Assistant Administrators
and Heads of Offices

POLICY LETTER NO. 78-3

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Requests for Disclosure of Contractor-
Supplied Information Obtained in the
Course of a Procurement

The Freedom of Information Act, 5 U.S.C. §552, is intended to better inform the public by opening the processes of Government to public scrutiny by establishing a general policy of disclosure of information in Government files upon request. The Act recognizes, however, that while the general policy is one of public disclosure, it is also in the public interest to protect certain types of material from disclosure.

The purpose of this Policy Letter is to prescribe a uniform policy and approach toward handling requests filed under the Freedom of Information Act for information that may fall within exemption 4 of the Act, 5 U.S.C. §552(b)(4), obtained from Government contractors or potential Government contractors in the course of a procurement. That provision provides a discretionary exemption from disclosure for " * * * trade secrets and commercial or financial information obtained from a person and privileged or confidential." In the procurement process, such information usually comes into the possession of the Government through a proposal or similar document.

A recent court decision* has held that commercial or financial information is withholdable under exemption 4 if disclosure would satisfy either of two tests. Broadly speaking, these tests are satisfied if disclosure would:

1. impair the Government's ability to obtain necessary information through purely voluntary cooperation in the future; or

* National Parks and Conservation Association v. Morton, 498 F.2d 765 (D.C. Cir. 1974).

2. cause ~~substantial~~ harm to the competitive position of the submitter of the requested information.

The same court has held,* in applying and clarifying the "competitive harm" test, that (1) it is "virtually axiomatic" that disclosure of certain types of contractor information would cause substantial harm, (2) actual harm need not be demonstrated to warrant non-disclosure, and (3) in a competitive context, a showing that competitors (or others) would gain "valuable insights" into a contractor's operations is an important consideration in satisfying the "competitive harm" test.

The balancing of competing interests often involved in Freedom of Information requests merits special attention in the procurement process. Procurement is one of the principal means whereby our Government effectuates national policies, as to both domestic and international concerns, and therefore the public has a strong interest in how it is conducted. The public's right to scrutinize the process must be recognized, particularly with regard to the terms and conditions of awarded contracts, which represent Government action, and with regard to contract deliverables. At the same time, the Government's need to obtain accurate and complete information necessary to procure goods and services for public use of a nature and at the cost most beneficial to the public is critical.

Therefore, unless and until new court decisions or legislation require changes, in order to achieve a uniform approach to the competing interests, and to protect the integrity of the procurement process as well as the public's right to disclosure, you are requested, on receipt of a Freedom of Information request for information, submitted by a contractor or potential contractor, that may fall within exemption 4 to: (1) immediately notify the submitter of the information of the request and afford the submitter an opportunity to present its views on whether disclosure should be made; and (2) give careful consideration to the facts that:

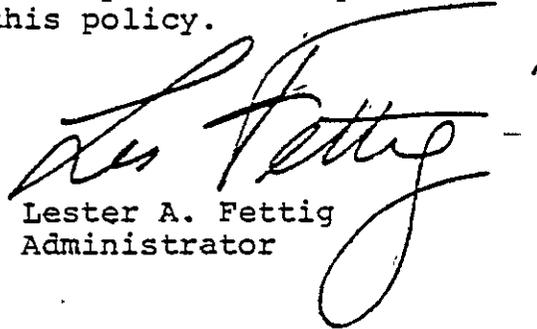
- (a) commercial and financial information submitted in connection with a procurement frequently is submitted more or less voluntarily and public disclosure against the wishes of the submitter may result in less complete information in future procurements, and

* National Parks and Conservation Association v. Kleppe, 547 F.2d 673 (D.C. Cir. 1976)

- (b) the context in which such commercial and financial information is submitted--that of the highly competitive area of Government procurement and free market enterprise--makes it more likely that release of the information would in many instances cause substantial competitive harm.

I emphasize that these policy guidelines in no way relieve a procuring agency of its responsibility to examine individually the facts in each case before making a determination to withhold or release, but rather are intended to prescribe considerations and a uniform approach that should generally be adhered to.

The foregoing policy has been coordinated with the Department of Justice through its Freedom of Information Committee, and that Department concurs in the general guidance set forth above. Agencies should continue to adhere to established procedures for consulting the Department on particular matters involving applications of this policy.



Lester A. Fettig
Administrator

Department of State

TELEGRAM

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TAGS:

SUBJECT: SUBMISSION AND DISTRIBUTION OF PROJECT EVALUATION SUMMARY (PES) REPORTS
REFS: (A) AIDTO CIRC A-486, DATED 12/2/78, (B) WHEELER TO MISSION DIRECTORS MEMORANDUM DATED MAY 4, 1979: TRANSMITTAL OF PROJECT DOCUMENTS

-- - S

1. INTRODUCTION - CONTINUING DISCUSSIONS WITH SER BUREAU HAVE THUS FAR NOT RESOLVED QUESTION OF SATISFACTORY REPLACEMENT FOR AIRGRAM DISTRIBUTION SYSTEM. IN ADDITION TO IMMEDIATE NEED TO PROVIDE FOR TRANSMISSION PES REPORTS, NE BUREAU POSITION IS THAT PRIMARY BACKSTOPPING RESPONSIBILITY FOR SCHEDULING AND REVIEW OF EVALUATIONS RESTS WITH PROJECT OFFICERS. FOR THESE REASONS, DECISION HAS BEEN MADE TO INTEGRATE EVALUATION REPORTING INTO THE OVERALL BUREAU PROGRAM DOCUMENTATION SYSTEM, AND TO FOLLOW SAME PROCEDURES AS DESCRIBED REF B FOR TRANSMITTAL, LOGGING AND DISTRIBUTION OF EVALUATION REPORTS AS FOR PID'S AND PP'S (PARA C III OF REF B IS RESCINDED). PROGRESS OF EVALUATION ACTIVITIES WILL ALSO BE RECORDED IN THE QUARTERLY REPORTS ON STATUS OF PROJECT IMPLEMENTATION. SPECIFIC INSTRUCTIONS FOLLOW.

2. PROCEDURES FOR SUBMISSION AND PROCESSING OF EVALUATION REPORTS - MISSION SHOULD SUBMIT ONE REPRODUCIBLE COPY PES AND ATTACHMENTS (SEE FORMAT DESCRIBED PARA 3 BELOW) TO PROJECT OFFICER. IN SOME CASES, SUCH AS EX-POST EVALUATIONS OF TERMINATED PROJECTS AND EVALUATIONS OF CLUSTERS OF PROJECTS, OFFICER OTHER THAN A PROJECT OFFICER PER SE MAY BE RESPONSIBLE FOR BACKSTOPPING/COORDINATING EVALUATION ON AID/W SIDE. WHERE SUCH PERSON IS KNOWN, EVALUATION SHOULD BE SUBMITTED DIRECTLY TO HIM/HER; IF NOT KNOWN, EVALUATION REPORT SHOULD BE SUBMITTED TO NE/PD/PDS WITH REQUEST FOR ASSIGNMENT OF ACTION ON DISTRIBUTION. FOLLOWING SAME PROCEDURE AS FOR PID'S AND PP'S, NE/PD/PDS WILL MAINTAIN LOG OF EVALUATION REPORTS RECEIVED. PROJECT

OFFICERS WILL BE RESPONSIBLE FOR ASSURING REPORTS ARE ENTERED IN LOG IMMEDIATELY UPON RECEIPT.

3. FORMATS FOR SUBMISSION OF EVALUATION REPORTS:

A. MISSION SHOULD PREPARE PES FACESHEET TO ACCOMPANY ALL EVALUATION SUBMISSIONS WITH FOLLOWING EXCEPTION. WHERE EVALUATION REPORT DEALS WITH WHOLE SECTOR OR NUMBER OF SEPARATE PROJECTS, IT MAY BE DIFFICULT TO DOCUMENT ON PES FACESHEET WHICH WAS ESTABLISHED FOR SINGLE PROJECTS. IN SUCH CASES, MISSIONS SHOULD USE PLAIN BOND PAPER TO PROVIDE INFORMATION THAT WOULD NORMALLY BE REPORTED ON PES FACESHEET.

B. EVALUATION NARRATIVE SHOULD BE SUBMITTED ON PLAIN PAPER, AS ATTACHMENT TO PES FACESHEET. THIS FORMAT MAY SERVE FOR MOST REGULAR AND SOME SPECIAL EVALUATIONS.

C. BOUND OR STAPLED REPORTS, SUCH AS THOSE SUBMITTED BY CONTRACTORS, MAY BE SUBMITTED, BUT WITH PES FACESHEET.

D. WHEREVER AN EVALUATION PREPARED BY NON-AID PERSONNEL IS SUBMITTED, MISSIONS ARE REQUESTED INCLUDE, IN ADDITION TO INFORMATION ON PES FACESHEET, THEIR OWN ASSESSMENT OF REPORT. SUCH ASSESSMENT SHOULD BE PROVIDED ON PLAIN PAPER, ALSO AS ATTACHMENT TO PES FACESHEET AND WILL BE CONSIDERED PART OF OVERALL EVALUATION PACKAGE.

E. RECENT REVIEW AGENCY PROJECT FILES FOR MOOTER AND BENNETT EXERCISES ON IMPACT AID ACTIVITIES HAVE POINTED UP THE CONSIDERABLE EVALUATIVE MATERIAL CONTAINED IN DOCUMENTS WHICH FALL OUTSIDE OF PES REPORTING SYSTEM, CG CONTRACTOR REPORTS, HOST GOVERNMENT AND OTHER DONOR REPORTS, SURVEYS/STUDIES/REPORTS COMPLETED UNDER OTHER AID PROJECTS AND

AND ACTIVITIES, ETC. IN ORDER TO FACILITATE ACQUISITION SUCH DOCUMENTS BY BUREAU AND THE DEVELOPMENT INFORMATION AND UTILIZATION SERVICE (DIU), AND TO GUIDE FUTURE ANALYSTS, REQUEST NE MISSION INCLUDE BRIEF SECTION IN PES NARRATIVE WHICH IDENTIFIES ANY DOCUMENTS OR REPORTS OF PARTICULAR INTEREST CONCERNING HISTORY/IMPACT OF PROJECT(S). WHERE BOUND REPORTS PREPARED EITHER BY AID OR NON-AID PERSONNEL ARE SUBMITTED, AND IF SUCH INFORMATION IS NOT INCLUDED IN APPENDICES TO THESE REPORTS, MISSIONS SHOULD PROVIDE THIS ON PLAIN PAPER ATTACHED TO PES FACESHEET. (IF MISSIONS WISH SUBMIT COPIES OF SUPPLEMENTAL DOCUMENTS, THESE SHOULD BE DIRECTED TO AID/W PROJECT OFFICER WITH INSTRUCTIONS TO ENTER IN PROJECT FILE/OIU AS APPROPRIATE.)

F. MISSIONS ARE REQUESTED TO ASSURE THAT CORRECT NUMBERING OF EVALUATION REPORTS IS PROVIDED PER BLOCK 4 OF PES FACESHEET; AS AIRGRAM NUMBERS CAN NO LONGER BE RELIED UPON, EVALUATION NUMBERS WILL SERVE AS BASIS FOR LOGGING AND RETRIEVAL. WHERE PES FACESHEET NOT BEING USED, PER PARA 3A ABOVE, EVALUATION NUMBER SHOULD BE CLEARLY INDICATED.

4. REPRODUCTION OF ATTACHMENTS - AID/W DISTRIBUTION WILL INCLUDE COMPLETE SETS OF ALL ATTACHMENTS AS STANDARD PROCEDURE, BASED ON AID/W REPRODUCTION OF DOCUMENTS RECEIVED. MISSIONS SHOULD THUS INCLUDE ONE COPY OF EVERY ATTACHMENT INCLUDING BOUND REPORTS AS RELEVANT, BUT NO MORE THAN ONE COPY (SEE ITEM 3C ABOVE). EXCEPTION TO THIS PROCEDURE MAY BE MADE AS FOLLOWS FOR SELECTED SPECIAL REPORTS SUCH AS SPECIALLY BOUND VOLUMES PREPARED BY CONTRACTORS OR SPECIAL AID TEAMS. IN SUCH CASES, MISSIONS SHOULD ARRANGE TO HAVE 35 COPIES OF REPORT DELIVERED DIRECTLY TO AID/W PROJECT OFFICER/EVALUATION BACKSTOP. TWO-WAY COVER MEMO OR CABLE SHOULD ADVISE ACTION OFFICER

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THAT COPIES OF ATTACHMENT HAVE BEEN/WILL BE PROVIDED FOR DISTRIBUTION. MISSION SUBMISSION OF EVALUATION REPORT SHOULD, HOWEVER, INCLUDE ALL ELEMENTS DESCRIBED IN PARA 3 ABOVE, INCLUDING COPY OF SPECIAL REPORT IN ORDER TO ASSURE ONE COMPLETE SET EXISTS FOR PURPOSES IDENTIFYING ALL ATTACHMENTS.

5. DETAILED INSTRUCTIONS CONCERNING AID/W DISTRIBUTION REQUIREMENTS WILL BE PROVIDED TO BUREAU PROJECT OFFICERS; THIS WILL INCLUDE DISTRIBUTION WITHIN THE BUREAU; TO PPC, DSB, PDC AND DIU; AND TO OTHER BUREAUS AND OFFICES AS APPROPRIATE.

6. MISSIONS ARE URGED ADVISE BUREAU EVALUATION STAFF, NE/DP/PAE, BY FEBRUARY 01, WHETHER OR NOT THESE GUIDELINES APPEAR FUNCTIONAL, AND TO SUGGEST WAYS IN WHICH THEY MIGHT BE CHANGED/IMPROVED. IF ANY QUESTIONS CONCERNING ABOVE INSTRUCTIONS, PLEASE INDICATE SO WE MAY CLARIFY. SUBSEQUENT COMMENTS BASED ON ACTUAL USE ALSO WELCOME. VANCE

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AUG 30 1978

INFORMATION MEMORANDUM FOR THE ADMINISTRATOR

THRU: ES

FROM: AA/NE, ~~Joseph C. Wheeler~~
Joseph C. Wheeler

SUBJECT: Status of Evaluation Activities in the Near East Region

I am pleased to describe the evaluation philosophy and system of the Near East Bureau. There are two points I would emphasize with respect to our views on the role of evaluation. First, evaluation is pursued in this regional bureau at a variety of levels -- on projects, sector programs, country programs, and at the regional level. Evaluation is considered an integral responsibility of the manager at each of these levels. Further, the process is an interactive one; the results of project level evaluations need to be aggregated and communicated to policy decision makers, and conversely, the results of sector, country or regional analyses need to influence project designers.

The DAP process was a poor instrument for policy evaluation. The new Country Development Strategy Statement process holds promise of being dynamic and effective. We began the CDSS process last winter, and had CDSS reviews of most country programs. Country strategies were reviewed in terms of stated country objectives, our policy interests, and Agency experience. Results of these views and issues identified became guidance for the Mission ABS, which is the basis of our FY 80 budget request. Soon we will be preparing guidance for the FY 81 series of Country Development Strategy Statements. These will be reviewed in the winter. Through this cyclical process we hope key policy issues can be identified and addressed, programs developed, resources assigned, and progress towards resolution of issues regularly assessed. The CDSS system may still have "bugs" and we need more experience with it. We also need more analytical staff here and in the field missions who are concerned with country strategy issues. Nevertheless, with the CDSS, we believe significant improvement in policy formulation, resource allocation, program management and evaluation is possible.

Second, we view evaluation not as a compartmentalized activity, but as an integral part of the design function at the project, program and country strategy levels. Objectives, beneficiaries, and external factors must be specifically defined and the interrelationships described. Projected outcomes must be defined in terms which are subject to verification by objective means such as controlled observation, physical measurement or surveys. In many cases, baseline data must be collected and/or properly

organized at the design stage if there is to be a basis for follow-on measurement of results. We are convinced that without attention at this stage, subsequent efforts are much less effective, and may be superfluous.

The "logical framework" presentation and the evaluation plan are frequently my starting point for understanding the key elements of a project, and it is an approach I am trying to instill in project officers in the Bureau at both the design and executive level.

Those are our comments on our general approach to evaluation. The following sections address the specific questions you asked about how the more formal Agency evaluation system works.

Evaluation Planning and Organization

Evaluation planning is the process by which we assure that we have adequately identified for all levels of decision making, our needs for evaluative information for planning, management, and accountability.

Evaluation planning is initially a Mission responsibility. Once a year, as part of the ABS, Missions submit a schedule of proposed evaluations covering both the routine evaluations required of all projects, and selected special evaluations. The NE Bureau approach is to review Mission ABS's to assure adequate coverage and timing of evaluations (i.e., evaluations planned to coincide with major program/project/budget decisions). At the same time, we consider proposed special evaluations in light of evaluation priorities identified by the Bureau and/or other parts of the Agency, to develop an agreed program of special studies.

Special evaluations are one of the primary vehicles by which we meet our needs for information at the program/sector level, and for policy decision making. These are carried out both by the Bureau at the regional level, and by individual Missions. As examples, the Bureau currently has underway, in the field, a major, policy-oriented evaluation of the social and economic impact of large scale irrigation. We are also considering a research proposal which has grown out of this, to evaluate the comparative benefits under various circumstances, of dryland vs. irrigated farming. In addition, we are analyzing two in-depth evaluations of diverse participant training programs to prepare policy-type guidelines for use in designing and assessing other NE and Agency projects. As a basis for planning and for future evaluation, we have recently completed a basic human needs profile in Jordan, which will serve as a baseline from which to measure future development progress at both the program and project levels. At the Mission level, USAID/Cairo plans an in-depth evaluation of projects aimed at private sector development to assess effectiveness of U.S. efforts in this area. USAID/Afghanistan is designing a sector level evaluation of primary education on which to make policy decisions concerning future AID programming and project design in this area. USAID/Tunis is undertaking an ex post evaluation of three housing investment guarantees.

One of the most important and high payoff services the Bureau can provide the Missions is to assist them in planning their evaluation programs, and organizing their staff and procedures to meet their needs as efficiently and effectively as possible. For example, the NE Project Analysis and Evaluation Staff conducted, with USAID/Cairo, a review of the Mission's capital assistance portfolio to develop an overall approach to their project portfolio, to refine individual evaluation plans, and to develop possibilities for cluster analyses. The result was an organized and coherent evaluation program for capital projects which is both useful to the Mission, and which has been used as a model for other bureau country programs having similar project portfolios.

In addition to evaluation planning, the ABS review stage also includes budgeting the resources required for carrying out evaluations, e.g., PD & S funds, RSSA and consultant services, and TDY staff. Substantial evaluation staff time is needed to establish and administer IQC and RSSA arrangements, and to develop and manage contracts for design and evaluation services with institutions and PSC's.

Program/Project Development: Evaluation Design and Implementation

As I indicated at the outset of this memo, evaluation efforts in the Near East Bureau begin at the program/project design stage in order to assure the evaluability of our activities, and involve sophisticated technical skills.

Participation of evaluation personnel at the program/project design stage is also essential to insure timely, direct feedback of past experience to new activities. As a result of their participating in and reviewing evaluations across a broad range of program and project areas, evaluation personnel gain experience and insights which are used to best effect in the design of new activities.

The program/project design aspect of evaluation has been of the highest priority to NE Bureau Evaluation Staff, and some 50 percent of its substantive input is devoted to this. The following illustrate the kinds and range of efforts required and, in particular, the specialized skills involved in designing effective programs and projects:

1. Prepared a paper analyzing and proposing alternative approaches to using Section 102(d) indicators for measuring recipient country needs and performance. This was used to assess country performances for last year's CDSS, and is now being updated for the next round of CDSS's. It has also served as a basis for developing descriptive statistical profiles of target groups for program/project planning in Jordan and Central Tunisia. Development of similar statistical profiles are currently being planned for other NE countries.
2. Currently assisting the Government of Jordan in carrying out household and agricultural censuses, and institutionalizing a comprehensive information system for the Jordan Valley. This will

serve as the basis for on-going planning and evaluation of the Jordan Valley development program, and individual projects.

3. Designed the terms of reference for, and backstopped a survey of 1,100 households in Taiz, Yemen to determine realistic financial and service objectives for the project, based on income and needs of the target group.

4. Prepared the scope of work and contracted for the social soundness analysis for an urban water project in Jordan, based on past experience in evaluation of and designing social and economic components of water projects.

Feedback and Utilization of Evaluation Findings

As I have just described, direct participation of Bureau evaluation personnel in the design of programs and projects is one of the major avenues of feedback and utilization of evaluation findings in areas of development interest. They are also active participants in the ABS and CDSS review processes, and they have direct access to me, my deputy, and Bureau office directors to advise us of any significant evaluative findings and to make recommendations as to how these should be applied.

Feedback and utilization of evaluation findings for project management, including redesign when required occurs within a project as project managers deal with management questions via project monitoring systems and evaluation during implementation. It is accomplished across the Bureau through the circulation of evaluation reports to the program office analysts and to Bureau project officers.

As a supplement to the regular evaluation process, we have found that effective ways to maximize feedback are:

1. To design phased projects whereby a phase one activity develops the data base and tests the project methodology to be used in an expanded phase two follow-on. Evaluation is built in to provide the data on which to base decisions concerning follow-on. In addition, evaluation, and design of the follow-on project are frequently handled as a combined exercise.

2. To develop and circulate generalized findings and guidance for wider application, including both design guidelines and policy guidance such as that being developed for irrigation and training projects as described above.

3. To arrange seminars and briefings for Bureau staff on matters of particular interest, and including TDY and contractor activities. Representatives of other Bureaus may be invited.

Evaluation Monitoring

The Bureau has an established system for recording and tracking planned evaluations. This includes a tickler file, updating, and periodic follow-up with Missions throughout the year on the status of evaluations. Evaluation reports are logged in, checked for proper distribution, and filed by country. A basic reference list is issued annually. This system is more complex and time consuming than it need be, primarily because the Agency distribution system for evaluations has not worked well. It has required inordinate follow-up by the Bureau to keep track of evaluation material. Although this has recently been modified, there are still some difficulties with the system which need to be resolved if the essential task of getting evaluative material into the right hands in a timely fashion is to be met. The Bureau has made a number of formal suggestions to PPC/E to deal with these problems in the system, and will continue to work jointly with them.

Staff Resources and Quality Control

The most effective quality control for evaluation is not through external "policing" of activities. Rather, it is inherent in the proper functioning of our program and project review processes, wherein evaluations are considered in planning and decision making. Evaluations are timed to coincide with key program and project decisions, and where they do not present sufficient evidence, either due to the situation or to the lack of rigor with which they were carried out, the activity may not be approved and/or additional work may be required to develop this.

As evaluation is an integral part of the program/project design process, questions of quality control also lead quickly to a consideration both of the adequacy of evaluation staff, and of project design staff. Aside from the issue of aggregate staff size, which is a major problem, there are two serious staff constraints.

1. First line responsibility for project design/evaluation lies with the project manager in the field and the project committee chairperson in Washington. Yet, most project personnel do not have sufficient background in socioeconomic analysis and evaluation methods to carry out their responsibilities for design and evaluation. At a minimum, they must be able to define project analysis/evaluation issues and data needs; they must be able to design and organize routine socioeconomic analyses and evaluations, and recognize when it is necessary to turn for outside advice and assistance. We need to consider this both when recruiting and in planning in-service training programs.

2. Staffing at the project management level needs to be complemented by specialized personnel who are trained and experienced in analytical and evaluative methods, to manage evaluation activities and to provide the assistance required for effective design and evaluation both

on routine problems, and particularly where special studies, inter-comparisons and policy level questions must be addressed. The types of skills required include organization, information planning and management, statistics, financial and cost benefit analysis, and data collection techniques including survey interview design.

Unfortunately, evaluation has for a long time been looked upon as an adjunct to program office functions, concerned primarily with meeting reporting requirements. It was a part-time task of low priority. Although there is a growing appreciation of the specialized and professional nature of the evaluation function, staffing has been slow to respond. Mission evaluation responsibilities continue to be handled on a part-time basis, and in most cases by officers lacking these skills. Although our Mission-level evaluation officers are responsive, and make valuable contributions, their substantive input is limited without such skills.

The Bureau is fortunate to have staff in Washington, both on the evaluation staff, and on the project design staff, who do have these skills, but their number is far too few to meet the needs of this region.

The immediate need in the Near East is to expand the Bureau's Washington evaluation staff to meet the region's current and expanding work load. I have requested two additional positions (one part-time, one full-time) for this purpose.

In addition to the problem of staff size, there is the problem of skills and experience. The Agency must make an effort, through long-term training and through hiring practices, to develop a cadre of specialized personnel who have the technical skills that evaluation and project design analyses require. A number of these specialists must be sufficiently senior and experienced to deal with the policy level, program management, and organizational issues that are involved in carrying out evaluation, and that are generated by its findings. A similar effort must be made to assure that AID's technical personnel have the basic socioeconomic and analytical background required to make the input to design and evaluation that is necessary at the project management level.

I believe that if the Bureau, and the Agency as a whole, can obtain the skills and additional staffing for evaluation as I have recommended, evaluation will be able to exert a greater influence on executive decisions, and this in turn will justify the further upgrading of the management level responsible for the function.

Methodological Guidance and Support Services

Concerning methodological/policy guidance and support services in the evaluation and design areas, the Bureau has frankly not been sure where to look. We have received a valuable management service from PPC/PIAS in coordinating the Agency's arrangement with the Bureau of Census for

design and evaluation services, but, for the most part, central staff have seemed more concerned with managing their own "programs" or pursuing topics of academic interest, and not prepared to commit resources on a sustained basis to support Bureau priorities. Moreover, we have been concerned both with the number of centrally run design and evaluation related activities which are not adequately coordinated with the regional bureaus and with seemingly needless duplications that occur, particularly in view of the Agency's decentralized approach to evaluation. There has also been an inordinate attention to general policy and to precise methodologies which do not reflect the practical problems and imperfect solutions on which regional bureaus and Missions must act.

From the Bureau's standpoint, there is an urgent need for the Agency, through the new Evaluation Office, to develop an evaluation work plan which sets out in precise terms the design and evaluation problems and issues requiring urgent attention, and presents a course of action to mobilize and coordinate the various central and regional bureau resources to attack these problems. A much higher degree of coordinated program planning and budgeting is needed if the evaluation resources of the Agency are to be well used. But, as a bottom line, I want to emphasize that evaluation is an integral part of the programming and implementation process. If, as I hope, we are going to increase our attention to evaluation, the place to do it is first, by augmenting regional bureau capacity both in Washington and the field by adding a few professionally trained people in key places and second, by developing a consciousness among all of our project related staff of the need to build the evaluation process into project design and into project implementation schedules.

cc:NE Mission Directors
NE Office Directors

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