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November 21, 1983

FVA BUREAU MANAGEMENT SURVEY -- PHASE II

**Bureau for Food for Peace
and Voluntary Assistance**

**Agency for International Development
Washington, D.C.**

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November 21, 1983

Mr. Charles L. Gladson
Deputy Assistant Administrator
Bureau for Food for Peace and
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Room 223
1400 Wilson Boulevard
Arlington, Virginia 20523

Subject: FVA Bureau Management Survey -- Phase II; Contract
AID/OTR-I-1860, Work Order No. 17

Dear Mr. Gladson:

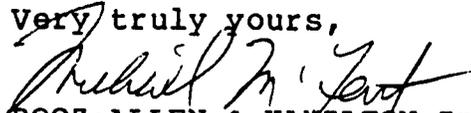
Booz, Allen and Hamilton is pleased to submit this final report on the staffing requirements, skills mix, and management-level information needs of the Office of Food for Peace. The main purposes of this report, which completes the FVA Bureau Management Survey, are to:

- Analyze and recommend staffing requirements for the Office of Food for Peace
- Examine the associated mix of skills needed to carry out the office's operational responsibilities
- Assess FFP management-level information requirements.

Major findings and conclusions of this study are highlighted in the Executive Summary.

We wish to express our appreciation for the thoughtful contributions which FFP and other Bureau staff have made to this effort. Please let me know if we can be of any further assistance.

Michael M. Lent
Managing Associate

Very truly yours,

BOOZ·ALLEN & HAMILTON Inc.

cc: Nancy McKay

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EXECUTIVE SUMMARY

The Bureau for Food for Peace and Voluntary Assistance (FVA) contracted with Booz, Allen and Hamilton Inc. to conduct Phase II of the FVA Bureau Management Survey initiated in mid-1982. Phase I of the Management Survey, carried out by the Office of Management Planning with bureau assistance, dealt with organizational roles and responsibilities within the bureau. Bureau management decided to focus Phase II on the Office of Food for Peace (FFP), which represents the bureau's largest program in dollar and staff terms. This study was initiated in August 1983 with three primary purposes:

- . Analyze and recommend staffing requirements to effectively carry out the operational responsibilities of the Office of Food for Peace
- . Examine the associated mix of staff skills needed
- . Assess FVA managers' requirements for FFP information

This executive summary highlights the major results of the Phase II Management Survey.

1. THE FFP OFFICE NEEDS 34 STAFF TO EFFECTIVELY CARRY OUT ITS OPERATIONAL RESPONSIBILITIES, INCLUDING THE SECTION 416 PROGRAM RECENTLY TRANSFERRED FROM USDA

The FFP Office currently has 28 permanent full-time positions, one temporary full-time position and two part-time permanent positions. The office did not operate at full strength during FY 83, due to turnover in six full-time permanent positions. The temporary position and AID/W complement staff made up in part for the vacancies for a total of 29.7 available staff years of effort. As of October 1, 1983, the FFP Office has 28 staff on-board as a result of filling one of the vacancies and the continued support from the temporary full-time position and two AID/W complement staff.

(1) Filling Existing Vacancies is Expected to Address Many of the Experienced Consequences of the FFP Office's Work Load Problems

Some of the work load requirements in the office can be addressed by filling existing vacancies in several critical positions. The vacancy in the FFP deputy director position as well as the three existing vacancies in the Title II Division have significantly affected the office's work accomplishment and overall program management. Basic operational requirements are being met, but too often in a crisis response environment. Major examples of work load problems include:

- . No operational planning for initial start-up and on-going activity for Section 416
- . Direction of staff time from programming and monitoring activity necessary for assuring continued program quality, to higher priority work needing immediate response, especially emergency programs and managers' requests for information
- . No established procedures for recordkeeping or control of paper flow in important processes, e.g., program requests, Congressional correspondence, and cable actions
- . A high level of professional effort devoted to clerical tasks
- . Uneven distribution of work load, particularly to staff responsible for Africa, an area of increasing program activity.

These kinds of problems indicate the need for improvements in work planning, staff supervision and administrative support. Filling existing vacancies in managerial, professional and support staff roles is the necessary first step for strengthening these areas.

(2) The Title II Division Needs One Additional Staff and POD Needs Two Additional Staff

The staffing levels in both the Office of the FFP Director and the Title I/III Division are adequate.

Incremental work activities in Title II and POD require both additional staff resources and some redistribution of work responsibilities.

The Title II Division needs 14 staff (10 professional and 4 support) to handle existing and incremental work load associated with increased emergency activity and Section 416 start-up and on-going activities. POD needs 9 staff (5 professional and 4 support) to carry out current responsibilities and assume additional responsibility for Section 416 and for central FFP recordkeeping and management information capabilities.

There are two areas where work load may grow, affecting Title II and POD staffing requirements:

- . The volume of emergency work load is variable but currently high, and, if the work load remains at its current high level, will require additional staff time.
- . The FFP Office anticipates that Section 416 will continue for two to five years but cannot project the volume of requests it will generate; if the volume significantly exceeds the estimated increases assumed in this study for planning purposes, supplemental staffing will be needed.

In both cases, however, work load growth is not expected to continue and can be appropriately addressed with temporary as opposed to permanent staff.

2. ADDITIONAL STAFF INCREMENTS, FOR VARYING PERIODS OF TIME, WILL BE NEEDED IN THE FUTURE TO PURSUE LONGER-TERM PROGRAM OBJECTIVES

FVA management has identified a variety of initiatives to enhance program quality and the developmental impact of the FFP program. While many of these new directions are in the early planning stages and have not yet been defined as specific work activities, by their nature they will require collaboration between FFP and PPE. It is also anticipated that such initiatives would require more staff resources during development and initial implementation and that the staffing requirements would taper off as these activities were incorporated into on-going FFP operations.

To assist bureau planning, it is estimated that these initiatives may require on the order of five to seven staff. More depth would be needed in FFP program officers with experience in country programs and needs and with established working relationships with involved AID, interagency and voluntary agency staff. In addition, FFP would require more staff time to gather and assess information necessary for planning, and to assist in launching new activities.

FFP managers, however, are burdened at the present time with meeting existing requirements and managing current staff. Improvements, particularly in work planning and monitoring and in staff management, are needed before new activities can be successfully undertaken.

3. GENERALISTS, RATHER THAN TECHNICAL EXPERTS, ARE NEEDED TO MEET THE BROAD AND VARIABLE WORK DEMANDS INHERENT IN THE FFP OFFICE'S OPERATIONAL ENVIRONMENT

The work activities and responsibilities of FFP require staff with broad analytic skills, strong communication skills, ability to organize and manage competing work priorities and an appreciation of the development process. These skills are those of a good generalist, capable of gaining a facility with needed economic, nutrition, commodity and logistics data, as well as an appreciation of policy research and analysis.

The work of the FFP Office does not routinely require technical depth in specialized areas, and such technical expertise is available from other offices, particularly PPE. It would also be difficult to spread the FFP work load, a frequent need, if staff were specialized in one of the several areas of knowledge needed to perform the office's work.

There is a need, however, to orient staff to the FFP program and to encourage their acquisition of some economic and nutrition analysis skills. Finally, POD staff need to become knowledgeable about management information systems to improve existing systems and serve as a source of in-house expertise in MIS.

4. THE FFP OFFICE NEEDS TO BUILD AN INFORMATION RETRIEVAL CAPABILITY TO SUPPORT MANAGEMENT-LEVEL INFORMATION NEEDS IN FIVE CRITICAL AREAS

While FFP staff are devoting a substantial amount of time responding to managers' requests for information,

there are information gaps and inadequate information supporting FVA managers' needs in five areas:

- . Work planning and monitoring
- . Budget and commodity status
- . Issues alert
- . Country/program descriptions
- . Program planning and policy guidance.

Many of these needs are currently being handled as special requests because there are few routine processes supported by accessible information bases.

(1) Substantial Improvements Are Needed To Meet FVA Managers' Needs for FFP Information

There are few systems and processes in place to provide the information essential for management control and effective decision-making.

- . Budget and commodity data are generally responsive to management-level needs, but could be improved with summary reporting focusing on pipeline review.
- . Work planning and monitoring needs to be systematically incorporated into office procedures with:
 - Annual and monthly work plans
 - Control logs for cables, correspondence, briefing papers, and other special projects
 - Annual staff availability projections with quarterly updates.
- . A mechanism for alerting managers to issues and their status will represent additional paperwork which will be offset by a process preventing issues from "falling through the cracks."
- . Both manual and automated systems will support the ability to efficiently retrieve information describing the overall program and specific country activity.

The establishment of central FFP records is pivotal for developing a management information retrieval capability.

(2) Establishment of Needed Information Systems and Procedures Will Require Significant Effort and Continued Management Attention

The major activities which must be undertaken are:

- . Assignment of central recordkeeping and management information responsibilities to POD
- . Specification of staff responsibilities and filling staff positions charged with these responsibilities
- . Acquisition of in-house MIS expertise in POD
- . Obtaining required technical assistance from the Management Bureau
 - M/SER/MO for design of a central record-keeping system
 - M/SER/IRM for design and implementation of manual and automated information systems.

A high priority should be placed on these efforts which will require continued attention from FFP and other bureau managers.

I. BACKGROUND

The Bureau for Food for Peace and Voluntary Assistance (FVA) has taken several important steps in recent years to strengthen the management and staffing arrangements for its programs. These measures have been warranted by new directions in policy, e.g., the PVO Policy Paper, addition of new responsibilities, e.g., Section 416, as well as the adoption of modern management methods, e.g., the planned PVO Information System.

Making such improvements in bureau and program management and staffing arrangements becomes a continuing process. While the bureau makes most of these improvements on its own, it has occasionally requested specialized assistance to develop solutions for particular management problems. The FVA Bureau Management Survey, Phase I of which was conducted by the Office of Management Planning (MP) in 1982, is an example. Phase II of the Survey, the results of which are reported in this document, is another.

The purpose of this chapter is to present a useful context for Phase II of the Management Survey. In addition to reviewing Phase I and its results, other staffing or management developments are discussed.

1. THE FVA BUREAU MANAGEMENT SURVEY WAS UNDERTAKEN TO REFINER DEFINITIONS OF ORGANIZATIONAL ROLES AND RESPONSIBILITIES IN PHASE I AND TO ANALYZE MANAGEMENT INFORMATION AND STAFFING NEEDS IN THE BUREAU'S LARGEST PROGRAM IN PHASE II

Following the broad-ranging scope of Phase I, bureau management focused the Survey's second phase on FFP.

(1) Phase I Recommended Several Refinements in the Roles and Responsibilities of the Bureau's Component Offices

Conducted by the Office of Management Planning with assistance from bureau staff, Phase I addressed several issues bearing on the placement of discrete functions and coordination between individual offices. In September 1982, the team reported its results in a memorandum report and a presentation to bureau management.

The nine organizational issues treated in Phase I and the Phase I survey team's recommendations were as follows:

- . Centralization of bureau audit and evaluation functions--recommendation was for the establishment of a "central coordination responsibility" to be given to PPE and associated with the evaluation program.
- . Breadth of focus of PPE/Policy Analysis Division--recommendation was that "formal responsibility" for FFP and PVO-related policy "be realized by building an expanded PVO capability" into the staff and that PPE work closely with PVC vis-a-vis PPC.
- . Creation of an FVA Steering Group on policy initiatives--recommendation that one be created as the "primary resource by which Bureau management designs methods to achieve policy objectives."
- . Organizational and functional configuration of PVC--recommendation that a technical liaison division be established and that cooperative grant management functions be carried out in a proposed operations division.
- . Automation and information--recommendation for a fully integrated and consolidated bureau automation/information function be established for developing, maintaining and operating bureau-wide automated systems.
- . Advisory Committee support--recommendation that all policy support be provided by "constituent organizations of the bureau and other Agency elements as appropriate through the Committee Secretariat."
- . Biden-Pell Program--recommendation that implementation be transferred from ACVFA to PVC.
- . FFP/Title II Division structure--recommendation that two operational branches be created.

Records management--recommendation that a comprehensive study be made to determine files that could be retired and that a central filing system established.

In the year since Phase I was completed, all recommendations have been implemented to full or partial degrees, except those concerning the FVA Steering Group and the centralization of automation support. As an alternative to centralized automation support the two largest offices, PVC and FFP, have proceeded independently. PVC conducted a requirements study in May 1983 for a PVO Information System to serve the Agency as a whole, as well as PVO's. The organizational changes with associated new staff positions to fully implement the recommendations on PVC structure are not yet fully processed by the M bureau. The FFP Office is in the first stages, as part of the present study, of systematically determining its management information requirements. With regard to records management, there has been a considerable amount of effort spent in PVC to strengthen the system, but in FFP such a project has not yet been initiated.

All FVA offices have been using the word processing and advanced office automation features of the recently installed Wang OIS-140. The Office of American Schools and Hospitals abroad, for example, is implementing a data base of project and institutional information which will ease the time-consuming production of repetitive descriptive data needed for several of its reports.

(2) The Purpose of Phase II Is to Address Staffing and Management Information Requirements in the Office of Food for Peace

In the period since the completion of Phase I of the Management Survey, in addition to implementation of recommendations, several other management or staffing improvement measures were undertaken. At the same time, opportunities emerged to address particular concerns in FFP. These included the appointment of a new director, a relatively high degree of staff turnover and the assumption of much of the responsibility for the Section 416 program from the U.S. Department of Agriculture. These developments, coupled with the program's position as the bureau's largest in dollar and staff terms, led to a decision by bureau management that the FFP Office deserved to be the prime

focus of Phase II. This decision was further supported by the fact that other bureau offices had taken steps to address some of the work process improvements which the original statement of work for the Management Survey would have emphasized.

Accordingly, Phase II was targeted on two key concerns. The first is FFP staffing, a significant concern in light of the assumption of some Section 416 responsibilities, and also because of the particular complexities of the program as it has been managed over the years.

2. THE BUREAU HAS MADE SEVERAL REQUESTS FOR ADDITIONAL STAFF ASSOCIATED WITH REORGANIZATIONS, NEW FUNCTIONS, OR WORK LOAD LEVELS

These requests concern more staff for PVC and the Office of Food for Peace. None of these requests has been formally acted upon as of early November, although there are indications that FFP will receive three positions to handle increased work load due to Section 416.

(1) As Part of a Proposed Reorganization, A Request Was Made for Five Additional FVA/PVC Staff Positions

Responding to the PVO Policy Paper and the results of Phase I of the Management Survey, the bureau made this request in an action memorandum to the AA/M on January 14, 1983. The request included a proposed reorganization of the PVC office, including the establishment of a new information function intended to achieve greater outreach towards AID bureaus, missions and PVO's. Four of the five positions requested were associated with this function, and the fifth was tied to secretarial support for development education activities.

(2) The Bureau's ABS for FY 85 Requested Eight More Positions for FFP

In addition to reporting the earlier request for five additional PVC staff positions (see above), the July 13, 1983 ABS requested eight new positions for FFP. Five would be assigned to the Title II Division and three to POD. Three of the five new Title II positions were requested to coordinate the review and approval of new Section 416 programs worldwide; another professional would work on Handbook 9 revisions, program audits, and the FFP Asia program. In

POD, one position was allocated to incremental duties associated with Section 416, another position was for budget management, and a third to secretarial duties.

(3) The Bureau Requested Five Additional Staff for the FFP Office for Section 416 Implementation

After studying staffing of the U.S. Department of Agriculture for this program and considering enhancements desired under AID's stewardship of it, the Bureau, in a July 14, 1983 memorandum for the Administrator, made a request for five additional staff. Four positions were requested for the Title II Division of the FFP Office, while one was requested for the Program Operations Division.

Although the Memorandum of Understanding transferring administrative responsibility for the Section 416 overseas donation program had not been finally negotiated with USDA, the bureau envisaged strengthening the program with resources greater than the estimated USDA equivalent of three full-time positions. The goals of the larger staff for the program at AID included better follow-up of field needs, more development-oriented program planning, and new systems to monitor project implementation. Circumscribing all of these intended improvements, the bureau also envisaged "a vast increase in program activity" to respond to the Congressional mandate.

(4) To Upgrade and Expand the FFP Officer Corps, Worldwide, The Bureau Recently Requested That Additional Overseas Positions Be Established

In a September 2, 1983 action memorandum for the Administrator, the FVA bureau laid out a number of improvements in the management of FFP officers. Seeking greater involvement in the recruitment, training, and assignment processes for these positions, the bureau also requested that nine additional overseas FFP Officer positions be established, of which five would be in the LAC region and four in Africa.

The requested positions were associated with a pool of 52 FY 83 Foreign Service vacancies to be allocated among the four AID regional bureaus.

Although overseas positions are not part of the analysis in the present study of FFP Office staffing, there is a connection between FFP officer assignments

overseas and the AID/W end of the program. More officers overseas can mean more requests for backstopping assistance in Washington and could generate substantially more work in Washington if new country-level FFP programs are established. Compensating for such increases, however, would be a diminished work load in countries for which FFP officers are assigned for the first time; capable FFP officers in the field, in some circumstances, should reduce the amount of backstopping now required. Another kind of relationship exists in the rotation and assignment process. To the extent that more FFP officers are assigned overseas, there are more candidates to fill vacancies in the FFP Office in Washington.

* * * * *

This chapter has reviewed the key management and staffing developments in the bureau in the past year. The balance of this report presents the results of Phase II of the Management Survey.

II. OVERVIEW OF THE OFFICE OF FOOD FOR PEACE

This chapter briefly describes the Office of Food for Peace as a context for study findings and conclusions on the FFP Office's staffing requirements and management information needs presented in the chapters which follow. The chapter discusses the office's current organizational structure, staffing and major work activities.

1. THE OFFICE OF FOOD FOR PEACE HAS THREE OPERATIONAL DIVISIONS

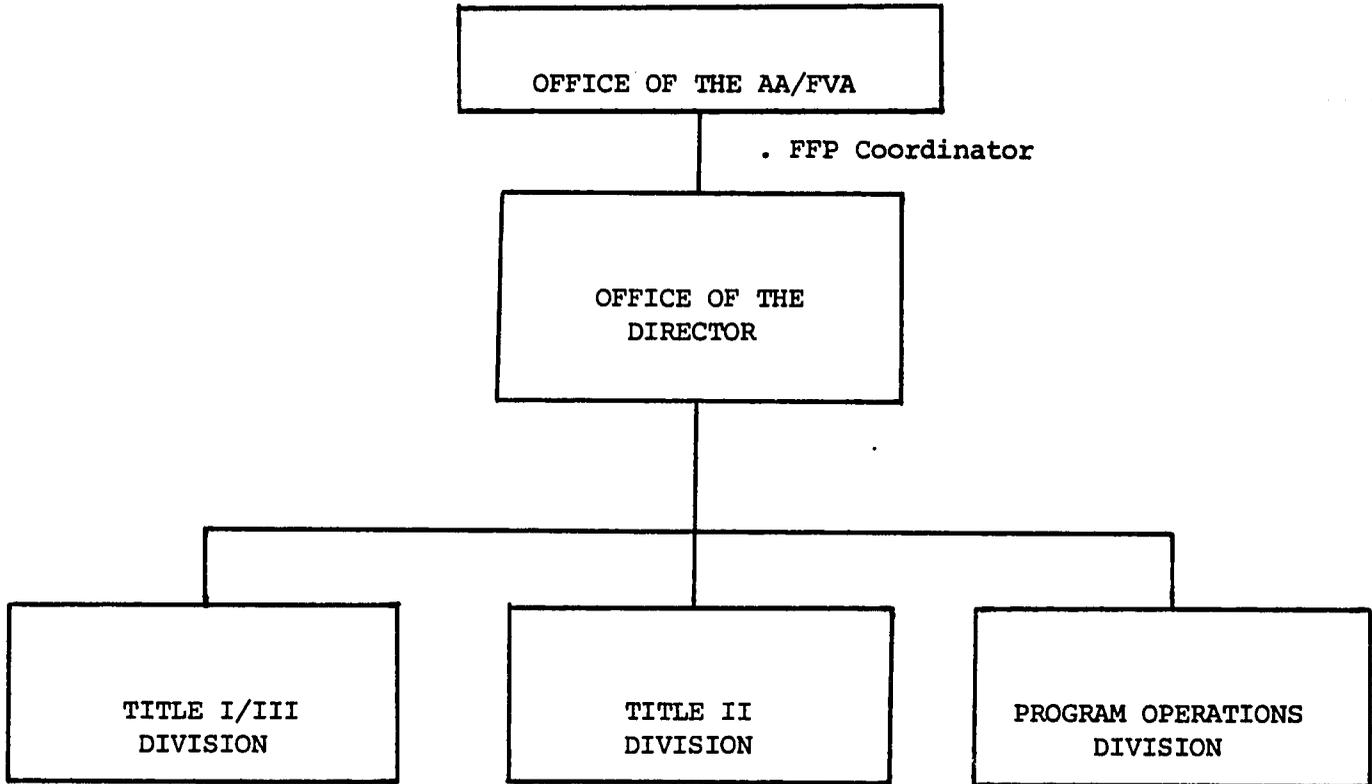
The FFP Office is organized into four components, as shown in Exhibit II-1, on the following page. The AA/FVA serves as the FFP Coordinator, representing the program in top-level management intra- and interagency negotiations of FFP activities and providing overall program policy and direction. The Director's Office includes the FFP Office director and deputy director, responsible for program planning, coordination and direct line supervision of FFP staff and activities organized into three divisions:

- The Title I/III Division has responsibility for PL 480 activities under Titles I and III, which are currently funded in 30 countries.
- The Title II Division has responsibility for:
 - PL 480 activities under Title II, which are currently funded in 72 countries
 - Monitoring status of, facilitating response to and closure of audit recommendations on FFP programs in cooperation with FVA's Office of Program, Policy and Evaluation (FVA/PPE)
 - Administration of Section 416 activities recently transferred from the U.S. Department of Agriculture.

The Program Operations Division (POD) has responsibility for technical and administrative support for the program, including

- Maintenance of budget and logistics data
- Technical assistance in logistics

EXHIBIT II-1
FVA/FFP Organizational Structure



. Title I Program .

. Title III Program

. Title II Program

. Section 416 Program

. FFP Audits Coordination

. Budget

. Logistics

. Dollar-Funded Program

- Administration of dollar-funded projects for outreach and support
- Preparation of FFP reports
- Administration of the travel budget.

The PPE Office is responsible for evaluations and for research, guidelines and support in program budgeting, legislation and policy.

2. THE FY 85 ABS SHOWS 30 PERMANENT POSITIONS IN FVA/FFP, AND AS OF OCTOBER 1, 1983, 28 STAFF WERE WORKING IN THE OFFICE

Exhibit II-2, on the following page, presents the 28 full-time permanent and 2 part-time permanent positions in the Office of Food for Peace. The office's current staffing includes three additional, temporary positions:

- . One temporary Commodity Specialist position in Title II
- . One AID/W complement staff in Title II
- . One AID/W complement staff in Title I.

These bring the total number of staff positions assigned to FFP to 33, as shown in Exhibit II-3, following Exhibit II-2.

Exhibit II-3 also reflects the office's turnover in six full-time permanent positions during FY 83 and the five existing vacancies in these positions as of October 1, 1983. These vacancies are:

- . Deputy director, FFP
- . Assistant FFP officer in Title II
- . Program analyst in Title II
- . Program operations assistant in Title II
- . Program analyst in POD.

There was turnover in both the FFP director and deputy director positions, and the director position was filled in June 1983. The Title II Division experienced turnover in four permanent positions, representing a total of 1.3 staff years of effort. The POD position became vacant in September 1983. The anticipated duration of the five current vacancies is not known. Title II filled one vacancy on October 1, 1983, has plans to fill another vacancy by December or January, and has completed position description revisions which permit a search for candidates for the vacant program operations assistant position.

EXHIBIT II-2
 FVA/FFP Positions As Presented in
 Schedule IX in the FY 85 ABS

<u>Office</u>	<u>Position Title</u>	
Director's Office	Director, FFP	F/T
	Deputy Director, FFP	F/T
	Secretary Stenography	F/T
	Secretary Stenography	F/T
Title I	Asst FFP Officer	F/T
	Intl Cpt Spcl	F/T
	Program Opns Asst	F/T
	Clerk Typist	F/T
	Secretary Stenography	P/T
Title II	Program Anls Off	F/T
	Asst FFP Officer	F/T
	Program Analyst	F/T
	Program Analyst	F/T
	Program Opns Asst	F/T
	Secretary Typing	F/T
Clerk Stenographer	F/T	
POD	Program Anls Off	F/T
	Program Analyst	F/T
	Program Analyst	F/T
	Program Analyst	F/T
	Program Opns Spcl	F/T
	Secretary	F/T
	Clerk Typist	P/T

EXHIBIT II-3
 Comparison of Assigned Staff Positions, Actual
 On-Board Staff and Available Staff Years
 of Effort in FVA/FFP During FY 83

<u>Assigned Staff Positions as of 10/1/83</u>	<u>Full-Time Positions</u>	<u>Part-Time Positions</u>	<u>Total Positions</u>
. Staff Positions	29	2	31
. AID/W Complement	2	0	<u>2</u>
			33
<u>Actual On-Board Staff as of 10/1/83</u>			
. Staff Positions	24	2	26
. AID/W Complement	2	0	<u>2</u>
			28
<u>Available Staff Years of Effort, FY 83</u>			
. Staff Positions	26.0	1.8	27.8
. AID/W Complement	1.9	0	<u>1.9</u>
			29.7

There are 28 staff currently working in the FFP office, including 23 permanent full-time positions, 2 part-time permanent positions, 1 temporary full-time position and 2 AID/W complement staff.

3. FFP WORK ACTIVITIES INCLUDE BOTH REGULARLY SCHEDULED RESPONSIBILITIES AND A VARIETY OF INTERMITTENT ACTIVITIES WHICH CREATE PEAKS OF CONCENTRATED STAFF WORK

The major work activities in the Office of Food for Peace center around the development, review and approval of program requests, as well as monitoring and implementation assistance to active programs. During FY 83, 170 Title II programs were implemented in 72 countries and Title I and III sales agreements were signed or amended in 30 countries.

(1) A Significant Element of FFP Work Activities Is the Coordination of Programs Through the Intra- and Interagency Process

Exhibit II-4, on the following page, categorizes the work of the FFP Office into nine major functional areas. The exhibit shows the FFP divisions with responsibility in each area. The key tasks in each major staff function are as follows:

- . Preparing and monitoring the budget
 - Review the CDSS and country ABS
 - Participate in geographic bureau country reviews
 - Develop recommended budget levels
 - Participate in FVA budget reviews
 - Revise and update budget and commodity docket
 - Coordinate and clear budget decisions within FVA, AID and interagency committees
- . Program development, review and approval
 - Develop guidance cables for the field
 - Provide technical assistance, including TDY, in program development to missions, host countries, and voluntary agencies

EXHIBIT II-4
Major Staff Functions in FVA/FFP

<u>Function</u>	<u>Title I/III</u>	<u>Title II</u>	<u>POD</u>
1. Preparing and monitoring the budget	●	●	●
2. Program development, review and approval	●	●	
3. Emergency program coordination		●	●
4. Monitoring and implementing assistance	●	●	
5. Evaluation and auditing	●	●	
6. Coordination of commodity tracking/procurement			●
7. Administration of dollar-funded programs			●
8. Other program-related activities	●	●	●
9. General administration	●	●	●

- Review and comment on program proposals
- Coordinate approval and clearance process in FVA, AID and interagency committees
- . Emergency program coordination
 - Attend geographic bureau and interagency meetings on emergency requests
 - Assess budget status and recommend assistance levels
 - Assess shipment schedules
 - Provide technical assistance in program development to missions, host countries and voluntary agencies
 - Review and comment on program proposals
 - Coordinate approval and clearance process in FVA, AID and interagency committees
 - Implement shipment procedures
- . Monitoring and implementation assistance
 - Assure that progress and other monitoring reports are submitted
 - Review and obtain clearances on calls forward for shipment
 - Provide technical assistance and guidance, including TDY
 - Coordinate problem-solving among involved agencies
- . Evaluation and auditing
 - Participate in evaluation studies coordinated by PPE
 - Review evaluation and audit reports
 - Monitor status of audit recommendations
 - Facilitate actions to address recommendations in the mission as well as in FVA and AID regional bureaus

- Coordination of commodity tracking/procurement
 - Assure that required reports are submitted
 - Maintain current commodity status data
 - Provide technical assistance and guidance to FVA and AID staff, missions, host countries, voluntary agencies and shippers
 - Coordinate resolution of shipment and distribution problems
- Administration of dollar-funded programs
 - Coordinate preparation of program proposals
 - Provide technical assistance and guidance to voluntary agencies and FVA staff
 - Obtain approval and clearances in FVA
 - Monitor program and budget status
- Other program-related activities
 - Prepare required Congressional and other reports on PL 480 and Section 416 programs
 - Prepare Congressional and general correspondence
 - Respond to inquiries about FFP program and operations from AID bureaus and offices, missions, host countries, voluntary agencies, food processors and food shippers
 - Prepare briefing and other background papers for mission directors, FVA and AID managers, and representatives from host countries and voluntary agencies
 - Conduct special analyses for policy development, legislative review, planning, evaluation and budgeting

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- Attend geographic and central bureau meetings
- Attend interagency meetings
- Maintain Handbook 9
- . General administration
 - Attend FVA staff meetings
 - Attend training conferences
 - Prepare personnel paperwork
 - Prepare travel paperwork.

These activities indicate FFP staff's pivotal role in linking information and decisions made in the program's intra- and interagency processes. Much staff work involves sharing information and coordinating actions among USDA and other interagency members, on the one hand, and AID's geographic bureaus, missions, voluntary agencies, food producers and processors and shippers, on the other hand.

(2) While Much of the Core Work of the Office Can Be Planned, There Are Frequent Unplanned Diversions of Time To Respond to Emergencies and Information Requests

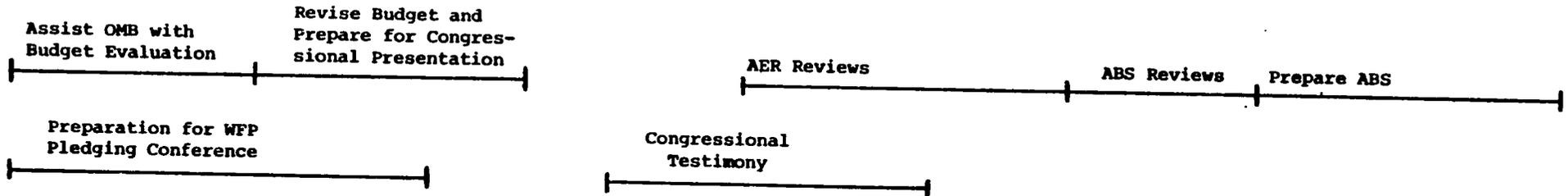
The annual work cycle in FFP includes a substantial level of scheduled activities with known time frames. As reflected in Exhibit II-5, on the following page, there are established program, budget and reporting requirements almost every month of the year.

In addition, however, there is a set of activities which are more difficult to anticipate and manage. These include:

- . Response to program requests during the year, particularly:
 - Emergency requests
 - Amendments to program or sales agreements
- . Response to external inquiries from:
 - Congress
 - Voluntary agencies
 - Food producers and shippers

EXHIBIT II-5
FFP Annual Work Cycle

OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
INITIAL ALLOCATION TABLES FOR CONGRESS (UPDATED QUARTERLY)	FINAL FAC REPORT DUE	USDA ANNUAL REPORT DUE	WFP PLEDGING CONFERENCE	CONGRESSIONAL PRESENTATION	AER's RECEIVED		ABS's RECEIVED	INTERNAL REVIEW OF BUDGET BY FFP, PPC AND REGIONAL BUREAUS		FFP BUDGET SUBMISSION TO INTER-AGENCY COMMITTEE	AID SUBMITS BUDGET TO OMB



ONGOING ACTIVITIES THROUGHOUT THE YEAR

- . Prepare negotiation instructions and implement sales agreements
- . Review WFP project summary reports
- . Prepare programming reports
- . Prepare commodity status, shipping and booking reports
- . Provide technical assistance to missions, volags, regional bureaus and other participating parties
- . Coordinate interagency/sponsor review, clearances, and approval

- . Preparation of background and briefing papers on emerging issues, program status and other topics.

These kinds of activities are frequently of such high priority, e.g., on emergency requests, that they take precedence over all other work in progress. In addition to interrupting routine work, these activities can also create intense work load demands on staff when several occur simultaneously or in rapid succession.

4. THE TRANSFER OF SECTION 416 ADMINISTRATION TO AID AND INTENSIVE EMERGENCY COORDINATION ARE EXPECTED TO INCREASE THE OFFICE'S RESPONSIBILITIES AND WORK LOAD

FY 83 was marked by two major programming changes and initiatives which complicated, and may have future implications for, the work load of FVA/FFP. During the year, the office experienced a higher than usual volume of emergency activities. The number of emergency programs increased by 37 percent from the previous year and was also perceived to have grown in complexity of decision-making and external response requirements.

Another major programming change was indicated by the transfer of authority of Section 416 from USDA to AID. On August 9, 1983 a Memorandum of Understanding was signed between the Commodity Credit Corporation and AID stating each agency's responsibilities in the administration of the Section 416 excess commodity program. As of this date, final legal authorization in the signing of Section 416 agreements is still in the process of negotiation. It is expected that the implementation of Section 416 will proceed as soon as this decision is made.

III. ANALYSIS OF FFP STAFFING AND SKILLS MIX REQUIREMENTS

This chapter presents the results of an analysis to incrementally build-up requirements for the necessary number of staff positions to adequately perform FFP work activities. The mix of staff skills needed is also discussed with conclusions on skill areas which warrant improvement. These analyses are focused on operational staff requirements.

Certain positions are assumed to be organizationally essential to manage the office in its current organizational structure. The director, deputy director, three division chiefs and at least one clerical/secretarial position associated with each were, therefore, excluded from the analysis to build-up FFP staffing requirements.

1. THE STUDY'S METHODOLOGY INCREMENTALLY BUILT-UP STAFFING REQUIREMENTS TO MEET FFP OFFICE WORK RESPONSIBILITIES

Staffing requirements were analyzed in a functional framework of units of work activity necessary to carry out the responsibilities of the FFP Office. From documentation and interviews with FFP managers and selected staff, a list of functional categories representing the work of each organizational component was developed. These lists were reviewed and refined in consultation with all FFP director and division chiefs.

This functional framework provided the structure for detailed interviews with all FFP staff in professional roles to:

- . Estimate how their time was allocated among major work activities in FY 83
- . Identify work load problems experienced and their consequences.

These interviews were conducted with 17 FFP professional staff, and included discussions with three staff who recently left the FFP Office as well as staff in AID/W complement and temporary positions. Estimates of time allocation for other professional staff, who had worked in FFP during the fiscal year but were unavailable for interviews, were provided by their division chiefs.

These estimates were aggregated at the division level for verification with the responsible division chiefs. Further interviews were conducted with the three division chiefs, the FFP director, the FVA administrative officer, the DAA/FVA and the AA/FVA to explore their perspectives on staffing needs in the FFP Office.

2. THE WORK LOAD OF THE OFFICE OF FOOD FOR PEACE HAS BEEN AFFECTED BY TURNOVER IN SEVERAL CRITICAL POSITIONS

The FFP Office did not operate at its full strength of 30 permanent (including 2 part-time) positions and 1 temporary position during FY 83. As shown in Exhibit III-1, on the following page, the office had 29.7 staff years of available effort during the fiscal year, representing 27.8 years of effort from staff in the office's 31 permanent and temporary positions and 1.9 staff years of effort from three AID/W complement staff. There were vacancies in staff positions in all three staff categories--managerial, professional and support.

Staff turnover has been particularly significant in the Director's Office and the Title II Division. Both the director and the deputy director positions have turned over, and the deputy director position is currently vacant. The four positions which turned over in Title II were held by experienced staff filling several critical roles in the division's work:

- . The acting deputy division chief
- . The World Food Program Coordinator
- . Officer responsible for Africa, Title II's largest area of responsibility
- . The program operations assistant who served as "office manager."

The turnover and substantial periods of vacancy have had significant consequences on how work has been performed. Bureau managers and FFP staff reported concern about some work not being done or being performed inadequately. In addition, there are inefficiencies in work activities related to how the work is managed and supervised, an absence of central recordkeeping procedures, and the inexperience of some staff new to the FFP Office.

EXHIBIT III-1

Distribution of Available Staff Years of Effort in FVA/FFP
During FY 83 Among Managerial, Support and Professional
Staff Roles

<u>Office</u>	<u>Managerial</u>	<u>Support</u>	<u>Professional</u>	<u>Total</u>
Director	1.5	2	N/A	3.5
POD	1	1.8	3.9	6.7
Title I	1	2.0	4.7	7.7
Staff Positions			3.8	
AID/W Complement			0.9	
Title II	1	3.1	7.7	11.8
Staff Positions			6.7	
AID/W Complement			1.0	
TOTAL STAFF YEARS	4.5	8.9	16.3	29.7
Staff Positions			14.4	27.8
AID/W Complement			1.9	1.9

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(1) Professional Staff Devoted An Estimated 62 Percent of Their Time to Core Operational Functions and Reported Higher Levels of Effort for Emergency, Other Program-Related and Clerical Activities Than Previously Experienced

Exhibit III-2, on the following page, estimates how the 16.3 professional staff years of effort in the FFP Office during FY 83 were allocated among ten major functions. These functions correspond to the descriptions of FFP program activities presented earlier in Chapter II and also include the clerical functions of typing, filing, reproduction and document distribution. The estimates of time allocation were based on careful interviewing of all available professional staff.

The first six functions listed in Exhibit III-2 represent the core operational activities of the program. Together with general administration, they constitute a baseline of work which must be accomplished to carry out FFP responsibilities. In FY 83, professional staff devoted 10 staff years of effort to these seven functional areas, or 62 percent of total available staff time.

Emergency program coordination and other program-related activity are certainly central functions in the FFP program. They are, however, distinct from other functional areas in the variability of their work load demands. And, it is in these two areas that many FFP staff perceive a significant increase in their work load. Title II staff reported higher levels of activity in emergency programs during FY 83, representing 18 percent of Title II staff time and 10 percent of all FFP professional staff time. Staff in each of the three divisions reported almost a staff year of effort devoted to other program-related activity, for an office-wide total of 2.6 staff years of effort or 16 percent of total available staff years of effort. This time primarily represents responses to management-level requests for information in the form of background and briefing papers, as well as Congressional correspondence.

Finally, staff in professional roles reported allocating 2 staff years of effort (12 percent of total available staff years) to clerical functions. While some professional work always include some clerical follow-through activity, this level of effort devoted for clerical tasks seems high, especially the 1.1 staff years of clerical activity reported in Title II.

EXHIBIT III-2

Estimated Allocation of Professional Staff Time Across Major FVA/FFP
Functions During FY 83 in Staff Years of Effort

<u>Major Function</u>	<u>POD</u>	<u>Title I/III</u>	<u>Title II</u>	<u>Total Staff Years</u>	<u>%</u>
1. Preparing and Monitoring the Budget	1.1	0.7	0.8	2.6	16%
2. Program Development, Review and Approval		1.1	1.7	2.8	17%
3. Monitoring and Implementation Assistance		1.2	0.7	1.9	12%
4. Evaluation and Auditing		0.3	0.6	0.9	6%
5. Coordination of Commodity Tracking/Procurement	0.6			0.6	4%
6. Administration of Dollar-Funded Programs	0.4			0.4	2%
7. Emergency Program Coordination	0.3		1.4	1.7	10%
8. Other Program-Related Activities	0.9	0.7	1.0	2.6	16%
9. Clerical Functions	0.4	0.5	1.1	2.0	12%
10. General Administration	<u>0.2</u>	<u>0.2</u>	<u>0.4</u>	<u>0.8</u>	<u>5%</u>
TOTAL STAFF YEARS	3.9	4.7	7.7	16.3	100%

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(2) Filling Existing Vacancies is Expected to Address Many of the Experienced Consequences of the FFP Office's Work Load Problems

Basic operational requirements are being met, but too often in a crisis response environment. Major examples of work load problems include:

- . No operational planning for initial start-up and on-going activity for Section 416
- . Direction of staff time from programming and monitoring activity necessary for assuring continued program quality, to higher priority work needing immediate response, especially emergency programs and managers' requests for information.
- . No established procedures for recordkeeping or control of paper flow in important processes, e.g., program requests, Congressional correspondence, and cable actions
- . A high level of professional effort devoted to clerical tasks
- . Uneven distribution of work load, particularly to staff responsible for Africa, an area of increasing program activity
- . No follow-through on a detailed ADP design study which programmed new country/project files on FFP systems but which have not been used.

These kinds of problems indicate the need for improvements in work planning, staff supervision and administrative support.

The current vacancies in the FFP Office are clearly affecting overall program management and staff work load. The inexperience of some staff new to FFP also has contributed to some level of inefficiency in handling the work load. This aspect of the work load problem is expected to be relieved as staff gain experience. But the long-term vacancies in management, support and professional positions must be filled as the necessary first step to carrying out the office's work effectively.

3. SECTION 416 WILL REQUIRE A SIGNIFICANT LEVEL OF ONE-TIME START-UP AND CONTINUING ON-GOING WORK LOAD IN THE TITLE II AND PROGRAM OPERATIONS DIVISIONS

It is expected that implementation of Section 416 will proceed as soon as legal authorization precedent to the authority to sign project agreements is determined. Currently, there are 19 approved USDA agreements and approximately 30 requests which are in some stage of review. Both Title II and POD will assume key responsibilities in the administration and operation of the program. In general, Title II will assume a majority of programming-related functions, and POD will assume technical support and program tracking responsibilities.

The estimated start-up and on-going operational activities expected for each division are shown in Exhibits III-3 and III-4, following this page. Start-up activities will require intensive staff effort concentrated over a period of four to six weeks in both divisions. Operational requirements for on-going implementation will be similar to current Title II activities with some variations. Section 416 activities:

- . Will not be incorporated into the regular budget cycle or CDSS process
- . May involve substantially more technical assistance to missions and sponsors due to the newness of the program and its availability to countries and sponsors not currently participating in PL 480
- . May lead to increased effort on the part of both divisions in responding to external and internal inquiries
- . Will overlap portions of existing Title II activities, such as those involved during emergency program coordination.

It should also be noted that the duration of the Section 416 program is unknown. The FFP Office currently expects the program to operate for two to five years, but this depends upon the availability of excess commodities.

(1) Start-up Activities are Estimated to Require Approximately Half a Staff Year of Effort in Each Division

Relatively little operational planning has been undertaken for the implementation of the program; therefore, a large portion of start-up activities in both Title II and POD will include the preparation of

EXHIBIT III-3

Estimated Start-up Activities for the Implementation of Section 416

<u>Activities</u>	<u>Title II</u>	<u>POD</u>
1. Prepare internal management and operational procedures	●	●
2. Determine reporting and record-keeping Requirements	●	●
3. Modify/design existing system to incorporate Section 416		●
4. Finalize a project agreement format	●	
5. Finalize program approval and eligibility criteria	●	
6. Establish program guidelines	●	
7. Establish regulations in the CFR	●	
8. Sponsor meetings to introduce Section 416 to geographic bureaus, fields and Volags	●	

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EXHIBIT III-4

Anticipated Operational Requirements For Section 416

	<u>II</u>	<u>POD</u>
1. Preparing/Monitoring Commodity Docket	•	•
2. Program Development Review & Appraisal		
. Draft guidance cables	•	
. Provide technical assistance and coordination to fields	•	•
. Review & approve proposals	•	
. Attend Food Aid Subcommittee and other interagency meetings	•	
. Obtain necessary clearances	•	
. TDY for programming requirements & proposals	•	
3. Monitor and Implementation Assistance		
. Provide technical assistance	•	•
. Coordinate with USDA & missions on tracking shipments, commodity requests and distribution		•
. Monitor loss & damage of commodities		•
. Keep CCC informed on claims		•
. TDY assignments	•	
4. Audit & Evaluation		
. Participate in Section 416 evaluation	•	•
. Review audit reports	•	
. Respond to audits - provide recommendations	•	
. Keep CCC informed of audit results, program status, and problem areas	•	•

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EXHIBIT III-4 (continued)

	<u>II</u>	<u>POD</u>
5. Emergency Program Coordination		
. Review commodity status	●	●
. Interagency/sponsor coordination	●	●
. Review shipment schedules		●
. Implement shipments		●
6. Other Program Related Activities		
. Handle external inquiries	●	●
. Prepare routine reports	●	●
- Annual - FAC/DAC		
- Congressional - Maritime Admin.		
- Other Statistical		
. Prepare briefing papers	●	●
. Prepare issues/alert papers	●	
. Attend internal program meetings	●	●
. Program publicity activities	●	●

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internal management and operational procedures as well as the determination of recordkeeping and reporting requirements. In addition, POD will need to modify existing FFP automated systems to incorporate statistical requirements of Section 416. Title II, on the other hand, will need to finalize program guidelines and eligibility criteria and also begin program information activities. Results of interviews with division chiefs and staff indicate approximately half a staff year of effort will be needed for start-up work in each division.

(2) On-going Section 416 Activities are Expected to Require Almost a Year of Staff Effort in Both Title II and POD, but Could Increase Depending on the Volume of Requests

There are currently 50 Section 416 requests which have been approved by USDA or are in some process of review. While it is uncertain how many additional requests will come forth, the FFP Office expects growth in the volume of 416 requests once program guidance and information about the program are distributed. The methodology used to estimate incremental staff effort for Section 416 is based on the best information currently available:

- . Expected operational requirements for Section 416 as shown in Exhibit III-4 were compared against major staff functions for a Title II program and adjusted according to staff estimates of anticipated work activities.
- . Two scenarios were developed based on the number of expected requests to estimate staffing requirements:
 - Annual 416 requests will stay constant at current levels
 - Annual 416 requests will double.
- . For planning purposes, an average of the two cases was used to estimate staffing requirements for the anticipated work load. Slightly less than one staff year of effort was derived for each division to carry out Section 416 responsibilities.

The level of staff effort required is dependent upon the volume of 416 requests. If the volume of requests should double over the level experienced by

USDA, the increments of work needed to process and monitor them would result, at their highest, in the range of one to one and a half total staff years of effort in both Title II and POD, for a total between two and three staff years.

4. THE TITLE I/III DIVISION CURRENTLY HAS THE STAFF POSITIONS REQUIRED TO ADEQUATELY CARRY OUT ITS RESPONSIBILITIES

The Title I/III Division has seven positions, including the division chief, four professional positions (titled International Commodity Specialist), one program operations assistant, and one secretarial/typist position. (The part-time secretarial position listed in the FY 85 ABS under Title I has been assigned to the Title II Division.) During FY 83 and through his AID/W tour, the division has the additional support of an AID/W complement staff position.

In FY 83, there were Title I/III program activities in 30 countries. The Congressional Presentation projects that these activities may expand to 35 countries during FY 84, a level the program has experienced in previous years at its current staff size. Title I and Title III programs have an established base in many recipient countries, with several additions and amendments occurring each year. Budgeting and programming activity are cycled and are conducted through established procedures of negotiations with other AID offices and bureaus and members of the interagency committee.

The Title I/III Division is meeting all operational requirements and handling a reported increase in other program related activities. Only one staff member reports regular overtime to handle work load for the Africa region and as acting deputy division chief.

Title I/III work load volume and schedule is fairly predictable and can be planned and assigned to staff on a regional basis with a fairly even distribution. Staffing requirements in the division include the following:

- . One position for division management and supervision
- . Four professional positions to cover each of the four geographic areas, with staff back up for heavier work load in Africa
- . One program operations assistant position to facilitate paper work and maintain divisional records

- . One secretarial/typist position with back-up support when necessary from other divisions.

The temporary availability of one staff member from the AID/W complement gives Title I/III the opportunity to target additional staff resources to improve the quality of work and provide more support to the Africa region.

5. THE TITLE II DIVISION NEEDS 14 STAFF AND SOME REDISTRIBUTION OF WORK ACTIVITIES TO MORE EFFECTIVELY CARRY OUT ITS RESPONSIBILITIES, INCLUDING SECTION 416

Staff turnover and use of staff in other than full-time permanent positions has complicated the picture of the Title II Division's staff resources. As of October 1, 1983, the Title II Division has 11 full-time permanent positions, three of which are vacant, one temporary full-time position, one part-time permanent (secretarial) position and one AID/W complement staff member.

(1) The Division has Experienced Work Load Growth

Exhibit III-5, on the following page, presents indicators of the division's program work load in FY 82 and FY 83. In FY 83, Title II programs operated in 72 countries and experienced a 10 percent growth in total number of programs from the previous year. It is particularly important to note that all program types, except the Volag program, increased and that emergency assistance experienced the largest growth of 37 percent. These program types may vary in their complexity of processing requirements and number of program requests.

- . The Volag program has a scheduled program cycle and a base of experience working with five or six major voluntary agencies
- . The World Food Program (WFP) has a scheduled budget process with program requests coming in through the year, but its programming process is the most streamlined of Title II procedures and does not require logistics support
- . Government-to-government programs represent a substantially smaller volume of activity than other program components and also do not include time-consuming logistics support
- . Emergency assistance requests are the most time consuming to process, come in throughout the year, and have been growing in complexity of operational requirements and negotiations needed to complete action.

EXHIBIT III-5

Number of Title II Programs by Program Type, FY 82 and FY 83

<u>Program Type</u>	<u>FY 82</u>	<u>FY 83</u>	<u>% Change</u>
Voluntary Agency (Volag)	65	60	-8%
World Food Program (WFP)	57	64	+12%
Government-to-Government (G/G)	4	5	+25%
Emergency Assistance	30	41	+37%
	—	—	—
TOTAL	156	170	+10%

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The emergency component of Title II operations is more difficult to manage than other components. This work has the highest priority and requires rapid response and constant attention from FFP staff.

The Title II work load has not only been growing, but has surges of work activity. The intensity of competing work requirements and priorities during work load peaks creates work load management problems. These problems have been exacerbated by staff turnover, unfilled vacancies and the absence of administrative procedures to support staff during critical work periods.

Staff estimated that a little over one staff year of overtime was required to handle their work requirements during FY 83. Almost all overtime was reported by staff in the acting deputy division chief role and by staff responsible for FFP Title II programs in Africa.

(2) The Staff Work in Title II Includes a Mix of Functions Organized by Geographic Area and Program Activity

Managerial and support staff functions in Title II include the following:

- . One position for divisional management and staff supervision
- . Less than one position for management-level representation in interagency negotiation and representation
- . One program operations assistant position for division level recordkeeping and paper flow coordination
- . Three secretarial positions.

The Title II Division requires a substantial level of secretarial support. As indicated in Exhibit II-2, professional staff in the division are devoting 1.1 staff years of effort to clerical functions. This time reflects the heavy paperwork flow of incoming program documents to be prepared, cleared, reproduced, distributed and filed. Experienced problems in the level of clerical support appear to be related to how staff are supervised and the lack of established administrative procedures guiding support staff. Three secretarial positions, filled by qualified incumbents, are needed to process this paperwork

stream and to reduce professional staff time which is needed for other tasks.

During FY 83, there were significant differences in the number of programs by geographic region:

- . Africa had 75 programs, reflecting growth in all program types
- . Latin America had 56 programs, reflecting steady volumes in Volag, WFP and G/G programs and a large increase in emergencies
- . Asia had 24 programs, with the addition of several emergency programs reflecting a small increase from the 19 in FY 82
- . Near East had 13 programs, a decline of 3 from the 16 in FY 82.

In addition, there were two emergency programs in Europe in both FY 82 and FY 83. These work load figures and the estimates of staff effort to start-up and sustain on-going Section 416 responsibilities indicate the following mix of professional staff requirements in Title II:

- . Two positions for Africa
- . More than one position for Latin America
- . One position for Asia
- . Less than one position in Near East
- . One position for World Food Program coordination
- . One position for Section 416 coordination
- . Less than one position for evaluation and audit recommendation coordination
- . Less than one position for special projects, e.g., background and briefing papers, country and program information, and policy/planning research.

The concentration of FFP activities in Africa suggests that significant portions of staff time in the coordination, evaluation and special projects areas will be targeted on that geographic region, supporting responsible geographic officers' work.

(3) The Title II Division Needs One Additional Professional Staff Position and Conversion of the Temporary Position to a Permanent One

The commitment of a substantial portion of the Title II division chief's time to AID, interagency and other meetings has led to a request for two branch chiefs to directly supervise staff activities. Assuming formal approval of the two branch chief roles within the Title II Division, the required staff positions to adequately carry out the division's responsibilities are:

- . One division chief position
- . One branch chief with operational responsibility for the Near East and Europe and supervision of Title II programs in Near East and Africa
- . One branch chief with back-up operational responsibility for Latin America and supervision of Title II programs in Latin America and Asia
- . One professional position for Latin America
- . Two professional positions for Africa
- . One professional position for Asia
- . One professional position for 416 start-up and on-going coordination
- . One professional position for World Food Program coordination
- . One professional position for evaluation coordination, audit recommendation tracking and special projects coordination with PPE staff
- . One program operations assistant
- . Three secretaries.

This staffing pattern would be achieved by conversion of the temporary full-time position to a permanent full-time position and the addition of one permanent full-time position.

6. THE PROGRAM OPERATIONS DIVISION REQUIRES NINE STAFF TO PROVIDE NEEDED SUPPORT AND TECHNICAL ASSISTANCE

The POD has seven positions -- the division chief, three professional positions, one program operations assistant and two secretarial/typist positions. One of the three professional positions has been vacant since August 1983.

Since the majority of the program operation assistant's work is highly integrated with professional staff work, this time was represented earlier in Exhibit II-2 on distribution of FFP professional staff time during FY 83. Review of this exhibit shows that POD's current work requirements include:

- . Approximately one position on FFP budget activity
- . Less than one position on commodity tracking/procurement for Title II
- . Approximately one-third of a position on emergency coordination for Title II
- . Approximately one-half of a position on administration of dollar-funded programs
- . Almost one position on responses to information requests and special analyses.

In addition, about 0.1 staff year is devoted to processing travel requests and maintaining the travel budget.

POD work load is directly affected by the work load in other divisions, and POD staff experienced some increases in their work with Title II during FY 83. POD staff reported 0.4 staff year of overtime to handle their work load. While this division's work peaks during the summer budget cycle, POD staff experience recurring requests for information, reports or final processing of program actions which must be accomplished on a quick-response basis. This results in the regular need for overtime to complete work assignments when they are needed.

- (1) POD will Assume Additional Work Related to Section 416 and Needs to Assume Primary Responsibility for Management-Level Information Systems

The division is expected to experience incremental staff work for the Section 416 program, and, as discussed more fully in Chapter IV, is the appropriate organizational component to assume lead respon-

sibility for developing and maintaining more responsive management information systems.

These new work activities are expected to require the following:

- . One professional staff position for Section 416
- . Less than one professional staff position responsible for management information systems in the FFP Office
- . One program operations assistant position responsible for establishment and maintenance of FFP central records and document flow
- . One secretarial position to support central recordkeeping and management information system-related work activities.

To carry out this work load in POD, one additional professional and one additional secretarial position are needed.

(2) One Additional Professional and One Additional Secretarial Position Are Needed in POD

Current and anticipated POD responsibilities and work load require nine positions, organized in the following manner:

- . One position for division management and supervision
- . One professional position for dollar-funded programs and Title I programs
- . One professional position for Title II programs
- . One professional position for back-up to Title II programs and responsible for automated management information systems
- . One professional position for Section 416
- . One program operations assistant position for central recordkeeping, including travel budget

- . One secretarial position to support central recordkeeping and document flow and to provide back-up general secretarial support
- . Two secretarial positions for general secretarial support.

This staff structure reflects two additional positions and some re-distribution of POD work among staff.

7. THE DEPUTY DIRECTOR'S POSITION IN THE FFP DIRECTOR'S OFFICE NEEDS TO BE FILLED FOR OVERALL OPERATIONAL COORDINATION

The Office of the Director is composed of two professional and two secretarial positions. The director position was occupied by two incumbents during FY 83, and the deputy director position has been vacant since January 1983 when the incumbent became acting director. The current FFP director assumed responsibilities in June 1983.

The current vacancy in the FFP deputy director position has affected general work planning, coordination, and priority guidance which are critical functions for the effective operation of the Office of Food for Peace. This position needs to be filled to assure overall coordination of program activities as well as the development of policies, standards and procedures to serve as guidelines for FFP operations. The deputy position also serves as the office's single source for cooperative activities with other offices, e.g.:

- . Policy, evaluation and legislative work with PPE
- . Administrative and personnel work with the FVA Administrative Officer.

The deputy director's position is particularly important to the FFP Office. FFP division chiefs have substantial responsibilities in actively supervising staff work and are frequently called upon to participate in intra and interagency negotiation and senior FVA and AID staff meetings to resolve FFP program issues. The division chiefs do not have sufficient time available, given their operational work load, to monitor and assess the overall FFP program. Such an internal program guidance role is needed to advise and support the FFP director.

To provide needed information supporting more effective work planning and monitoring, one of the secretarial positions needs to be converted into a program

operations assistant position. Reporting to the deputy director, the program operations assistant needs to assume a major role in overall work monitoring, status reporting and document control for the work of all FFP divisions. The responsibilities of this position are closely tied to management information requirements and are discussed in more detail in Chapter IV.

8. THE OPERATIONAL WORK LOAD OF THE FOOD FOR PEACE PROGRAM REQUIRES 34 STAFF, AND ADDITIONAL WORK TO ACHIEVE LONGER-RANGE PROGRAM OBJECTIVE WILL REQUIRE STAFF INCREMENTS FOR VARYING PERIODS OF TIME

The purpose of the analyses presented in the preceding sections of this chapter was to incrementally build up staffing requirements for specified work activities in the FFP program. In exploring ways to strengthen the developmental impact of FFP resources and to more effectively target these resources where they are needed, the FVA Bureau is planning new initiatives which will result in additional work activities.

This section considers the possible staffing requirements of such longer-range program objectives separately from the assessment of the FFP Office's need for staff to carry out established operational requirements. There is a basis for building up staff requirements for the established elements of FFP work load from previous experience. The bureau's efforts to improve the quality and impact of the program, however, must be further specified before an assessment of the number and placement of staff to carry them out can be developed. But, based on an understanding of the program's current requirements and where the bureau would like to see improvement, some thoughts on where added staff depth may be beneficial can be offered for further consideration.

(1) The Current Work Load Requires 34 Staff, But Growth in Emergency and Section 416 Activity May Require Additional Staff

Exhibit III-6, on the following page, summarizes the staffing requirements of the Office of Food for Peace. These requirements are based on several assumptions:

- . The internal organization of the office into three operational divisions remains constant
- . Turnover in staff positions does not result in substantial periods of vacancy

EXHIBIT III-6

Staff Needed to Meet Food for Peace
Program Operational Requirements

<u>Office</u>	<u>Managerial</u>	<u>Secretarial</u>	<u>Program Operations Assistant</u>	<u>Professional</u>	<u>Total</u>
Director	2	1	1	N/A	4
Title I/III	1	1	1	4	7
Title II	1	3	1	9	14
POD	1	3	1	4	9
	<hr/>	<hr/>	<hr/>	<hr/>	<hr/>
TOTAL	5	8	4	17	34

- . Staff perform their work adequately with better planning and supervision by their managers
- . Work load volumes and processing requirements are not significantly different from the projections used in the analyses.

There are two areas where work load could potentially grow and affect the Title II Division and the POD.

Emergency assistance activity has been increasing in recent years. The increase includes not only more emergency programs, but emergency programs which are of a different nature than those previously experienced and require more staff time. Emergency activity is highly variable and, in the past, has followed a cyclical pattern of droughts, particularly in Africa. The emergency program in FFP today, however, includes more assistance in natural disaster and refugee assistance programs. Both the program development and interagency clearance processes are more staff-intensive for the latter kinds of emergency assistance. FFP staff must devote more time to assessing regional as well as country needs, supporting responsible distribution agencies in establishing appropriate logistics arrangements, and negotiating agreements with actively involved parties. The negotiations and monitoring process can become more demanding when aid is given to politically sensitive countries.

The volume and type of emergency program activity needs to be monitored closely to assess whether additional staff effort is needed. There is no certainty that the substantial increase in FY 83 emergency work will be sustained.

As indicated previously, the duration of the Section 416 program and the volume of the requests are uncertain. At the present time, the office expects it to continue for two to five years. Reflecting the short-term availability of Section 416 commodities, this analysis assumed a 75 percent increase in program requests over the level experienced by USDA to assess FFP staff requirements. If the volume of requests should double and if efficient processing procedures are not established, Section 416 could require incremental staff time.

(2) New FFP Initiatives Could Require Temporary Support on the Order of Five to Seven Staff

The kinds of program initiatives under consideration include:

- . Direct technical assistance to missions and host countries in the development of more effective FFP programs
- . Analysis of trends indicating where FFP resources would be needed and well utilized world-wide
- . Evaluation of program strengths and problems to feedback into new designs and on-going activities
- . Program guidance to regional bureau, mission, host country and voluntary agency representatives on more effective utilization of the FFP program in development
- . Identification of areas requiring policy and/or legislative clarification or amendment.

As previously indicated, these initiatives are under serious consideration by FVA management, but there is not enough definition, at this time, to incrementally build-up their staffing requirements.

The work required to implement these longer-term program objectives involves many collaborative efforts between FFP and PPE. In addition, a substantial portion either require a concentrated period of development which would taper off when start-up activities were completed or incorporated into on-going operational activity.

Much of the policy research and program guidance forming the foundation of these initiatives is the responsibility of the PPE Office, working closely with FFP.

The work of the FFP Office would primarily be affected in two areas:

- . More depth in Title I/III and Title II staff with geographic responsibility would be needed to strengthen program designs and to permit adequate coverage for staff to provide direct technical assistance overseas

- . Additional staff to perform the information gathering and analysis with PPE
- . More depth in overall program planning to launch new activities.

The requirements would translate into the need for at least two additional geographic officers in Title I/III and at least three more in Title II. Staff assigned to special projects for research, analysis and program planning would be needed in either POD or the Director's Office. Depending upon the number of initiatives undertaken concurrently, there could be a need for two or more such staff at any one time. FFP managers would, of course, need to focus their efforts on coordinating, monitoring and contributing to FFP initiatives in all of these areas.

It is important to note that the FFP Office is not yet in a position to incorporate such initiatives into its work. The office is having difficulty managing its relatively small staff well and has not been filling existing vacancies expeditiously. FFP managers are already burdened in meeting existing requirements, and time is needed to strengthen office management before they assume additional responsibilities.

9. THE FVA BUREAU HAS OPTIONS FOR FILLING ITS STAFFING REQUIREMENTS IN FFP WITH AUTHORIZED PERMANENT POSITIONS AND A VARIETY OF TEMPORARY POSITIONS

In addition to authorized permanent positions, the bureau has a larger pool of staffing resources from which staffing requirements can be addressed. These include:

- . AID/W complement staff
- . Staff in temporary full-time positions
- . Staff in deleted and eliminated positions
- . Contractors.

The bureau has taken advantage of the availability of these types of staff in the past, where candidates meet the bureau's criteria, and is likely to continue to do so. While the availability and qualifications of these staff are variable, it is reasonable to assume that such positions will continue to be available in the foreseeable future.

Since many of the areas where the FFP program may require incremental staff are for one-time only and shorter-term activities as opposed to continued operational requirements, staff in these temporary positions represent an important resource. These shorter-term ac-

tivities support both program operations and program initiatives.

- . Work load growth in emergency assistance and the Section 416 program may require incremental staff to respond to the peaks which are not expected to continue.
- . The development of program guidance and subsequent implementation plans to increase the developmental impact of FFP programs represent one-time-only start-up activities.
- . The provision of direct technical assistance in countries to improve the design and implementation of FFP program requires supplemental staff during intensive developmental phases.

In summary, a substantial portion of the staff work needed to meet on-going work load and to improve program quality requires more concentrated staff resources for limited periods of time. The level of staff needed is variable, and the timing for effective placement of additional staff in specific areas of concern is uncertain at this time.

10. THE FOOD FOR PEACE OFFICE NEEDS STAFF WITH GOOD ANALYTIC SKILLS AND AN UNDERSTANDING OF THE DEVELOPMENTAL ENVIRONMENT

The basic set of staff skills needed to adequately carry out the office's work are:

- . Broad analytic skills and the ability to acquire general proficiency with economic, nutrition and commodity data
- . Strong communication skills to elicit needed program information and effectively negotiate recommended programs in respond to requests
- . Ability to organize and manage work in an environment of competing priorities and need to complete several kinds of critical activities in a compressed time frame
- . Appreciation of the development process and basic knowledge of the Agency's approach to developmental assistance.

These skills are those of a good generalist, capable of gaining a facility with technical data in several fields.

While FFP staff do work with economic, nutrition and commodity data, there is not a need for specialists with advanced training or degrees in these fields.

- . The work activity in the FFP Office does not require such a depth of technical knowledge or analytic skill.
- . When needed, expertise is available from other offices, particularly PPE and interagency members.
- . It would be difficult to evenly distribute FFP work among specialized staff.

The nature of FFP work activities and the periods of concentrated work would make it difficult to spread the work load if staff were specialized. Work can be more readily backstopped and re-distributed to a staff of generalists.

An additional concern of FFP and other bureau managers is the need for FFP officers to acquire certain skills during their assignment to the FFP Office which will better prepare them for their roles and responsibilities when stationed in missions overseas. These skills include knowledge of Food for Peace programs under Titles I, II and III of PL 480 as well as the new Section 416 program. There is considerable diversity among the missions in the management of the FFP program and the work assigned to the FFP officer. Staff who will be serving in the missions need to develop multi-dimensional skills in order to effectively design and implement FFP programs in the field.

There are several areas where the staff skills in FFP need improvement. A general orientation program would be beneficial to new staff, familiarizing them with the overall program and its processes, the AID developmental approach, and the specific requirements of their work responsibilities. An opportunity to receive supplemental training in the fields of economics, nutrition, commodities and transportation logistics would also improve staff analytic capabilities in all work activities. Finally, there is a need to develop automation skills in the POD to both improve the quality and effectiveness of existing information systems and to build an in-house capability to develop management information systems responding to FFP's needs.

IV. ANALYSIS OF FFP MANAGEMENT-LEVEL INFORMATION NEEDS

This chapter presents findings on FVA Bureau managers' needs for FFP-related management information, conclusions on how well current sources of information and reporting mechanisms meet their needs, and, finally, identification of improvement opportunities. The analysis focuses on the information needs of the FFP Office director and division chiefs, the PPE Office director, the DAA/FVA and the AA/FVA, who serves as the FFP Coordinator. While this analysis is not intended to directly address the information needs of the FFP program as a whole, it does provide a framework for additional examination of all information requirements to effectively carry out day-to-day FFP operational responsibilities.

1. THE OPERATIONAL AND COORDINATIVE RESPONSIBILITIES OF THE FFP OFFICE CREATE A NEED FOR READY ACCESS TO CURRENT STATUS AND PROGRAM OVERVIEW INFORMATION BY FVA BUREAU MANAGERS

The FVA managers responsible for the FFP program use management information to make decisions and take actions in a number of areas, including provision of program guidance, representing the bureau's position within the Agency and with other agencies, and making specific recommendations on program requests. The pronounced operational nature of the program as it has been carried out for many years has shaped managers' information needs in much the same pattern as the operationally involved staff in the three divisions in the FFP Office. Compared with managers of other AID programs, FFP managers appear to seek more detail and routine information, rather than more aggregated or exception-oriented information.

Exhibit IV-1, on the following pages, presents an overview of Bureau managers' needs for information in each of nine major FFP Office functions. The exhibit displays the types of routine and special information required, the frequency of requests for use of the information and the characteristic purpose to which FVA managers apply the information. Examination of this exhibit shows that:

- . There is a need for routine information for program monitoring and planning in each major work activity
- . In addition to routine requirements, there are recurring needs for special analyses, especially to:

EXHIBIT IV-1(1)
Purpose of Management Information Needs in Major Work Functions of the PFP Program

FUNCTION	INFORMATION NEEDS	FREQUENCY OF USE	MAJOR PURPOSE
1. Preparing and Monitoring the Budget	<u>ROUTINE:</u> Annual Budget and periodic updates of commodity mix, tonnage, dollar value and transportation costs	Monthly and quarterly updates	Monitor pipelines
	<u>SPECIAL:</u> Analysis of status and impact for program request analysis and decision-making	Weekly or daily during concentrated periods in budget cycle and in program requests	Assess implications of alternative recommendations in order to: . Provide staff guidance . Initiate management-level action
2. Program Development, Review, and Approval	<u>ROUTINE:</u> Annual volume of requests and approved programs	Annual with periodic update	Project and plan work load
	Status of processing and clearance activity	Weekly, with concentrated periods responding to timing of requests	Monitor work load and evaluate need to reassign work priorities
	<u>SPECIAL:</u> Requests requiring FVA management attention and action	As needed	Assess the need for staff guidance or to initiate management-level action
3. Emergency Program Coordination	<u>ROUTINE:</u> Anticipated volume of requests and budget requirements	Annual with periodic update	Project and plan work load
	Status of processing and clearance activity	Weekly, for some cases on a daily basis	Monitor work load and evaluate need to reassign work priorities
	<u>SPECIAL:</u> Request requiring FVA management is needed attention and action	As needed	Assess the need for staff guidance or to initiate management-level action

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EXHIBIT IV-1(2)

<u>FUNCTION</u>	<u>INFORMATION NEEDS</u>	<u>FREQUENCY OF USE</u>	<u>MAJOR PURPOSE</u>
4. Monitoring and Implementation Assistance	<u>ROUTINE:</u> Analysis of implementation problems and relationships with key agencies in PL 480 programs, e.g., PVOs, shippers, host countries, and interagency members	Annual	Anticipate and respond to issues and problems
	<u>SPECIAL:</u> Problems and issues requiring FVA management attention and action	As needed	Assess the need for staff guidance or to initiate management-level action
5. Evaluation and Auditing	<u>ROUTINE:</u> Schedule and status of PL 480 evaluations	Annual	Monitor work load
	Volume and status of audit recommendations for PL 480 programs	Quarterly	Monitor status
	<u>SPECIAL:</u> Analysis of program strengths and weaknesses	Annual	Assess program performance for planning and policy formulation
	Issues requiring policy guidance or FVA management attention and action	As needed	Assess the need for staff guidance or to initiate management-level action
6. Coordination of Commodity Tracking/Procurement	<u>ROUTINE:</u> Component of budgeting, programming, and monitoring information needs		Assess implications of alternative recommendations
	<u>SPECIAL:</u> Problems and issues requiring FVA management attention and action	As needed	Assess the need for staff guidance or to initiate management-level action
7. Administration of Dollar-Funded Programs	<u>ROUTINE:</u> Annual budget and periodic update	Monthly and quarterly updates	Monitor pipeline
	<u>SPECIAL:</u> Requests for funding requiring management decision making and guidance	Several over the year	Assess implications of alternative recommendations

EXHIBIT IV-1(3)

<u>FUNCTION</u>	<u>INFORMATION NEEDS</u>	<u>FREQUENCY OF USE</u>	<u>MAJOR PURPOSE</u>
8. Other Program-Related Activities	<u>ROUTINE:</u> Summary of PL 480 activities by title and country	Monthly	Develop understanding of program activities and anticipate issues
	<u>SPECIAL:</u> Country profiles tailored for specific requirements	Monthly	Develop understanding of program activities to represent the Agency's position in a variety of areas
	Response to Congressional inquiries		
	Response to A/AID and other AID inquiries		
9. General Administration	Preparation of position and issues papers		
	<u>ROUTINE:</u> Travel requests and status	As needed	Determine which requests should be filled
	Staffing resources and status on staffing requests	As needed	Plan and manage staff resources
	Status of program operations	Weekly	Anticipate and respond to operational problems and emerging policy issues

- Inform managers of developing issues which may require their program direction and guidance or their direct involvement to facilitate resolution in the negotiating process
- Respond to inquiries and prepare background papers on specific topics

In most functional areas, the information is referred to on a monthly and sometimes daily basis which reflects:

- The pace at which the available resource base changes
- FVA's need to rapidly develop recommendations for AID and interagency consideration to effectively respond to program requests.

Exhibit IV-1 indicates that in addition to summary information for top-level program monitoring, FVA managers require more detailed status and in-depth background information. This more operational level of information is required for approving FFP program recommendations and for determining when senior management participation in the interagency decision-making and negotiating processes is necessary to meet FFP program objectives.

The particularly high degree of program involvement by FVA managers, especially the AA and the DAA, reflects, to some extent, the individual management styles of the incumbents. However, the Food for Peace program is of particular interest to, and a high priority of the Agency's top management, and therefore will continue to require the active participation of senior FVA managers. While some types of information needs may become less frequent as current bureau managers gain more experience in the program, there will continue to be recurring needs for updated status information supporting managers' policy, monitoring and coordination roles. Program overview information will also continue to be needed as a basis for preparing background and position papers for a wide variety of inquiries from outside the bureau and to orient new staff, in both managerial and operational roles, to the program.

2. INFORMATION NEEDS TO SUPPORT EFFECTIVE BUREAU MANAGEMENT CONTROL AND DECISION-MAKING FALL INTO FIVE BROAD CATEGORIES

The fundamental requirement is for information which supports management control of program operations and provides responsive background material for FVA managers'

decision-making and action. Looking across the major functions of the FFP program, there are five major categories of management-level information needs. As shown in Exhibit IV-2, on the following page, these categories are:

- . Work planning and monitoring
- . Budget and commodity status
- . Issues alert
- . Country/program descriptions
- . Program planning and policy guidance.

The director and division chiefs in the FFP Office regularly need information in all categories. The director of the PPE Office primarily requires FFP information supporting PPE's responsibilities in the areas of FVA budgeting, policy, evaluation and auditing, and private and voluntary organization relationships. The AA and DAA need information supporting their overall program direction, bureau management and FFP coordination responsibilities.

(1) Work Planning and Monitoring Information is Essential for Responding to FFP Work Load Peaks

The work activities of the FFP office are characterized by both routine and unscheduled activities. There is a core set of known requirements which occur within anticipated time frames of the annual work cycle. In addition, there are other activities, such as emergency requests, briefings and other special projects, which cannot be as well anticipated, but are of such priority that staff effort is focused on their completion, often within limited time periods.

The director and division chiefs in the FFP office need information which permits them to:

- . Anticipate work load volume and schedules as much as possible
- . Allocate work load among staff and re-distribute work load during peaks for more fair distribution and to meet tight deadlines
- . Readily monitor status of the work to take corrective action if required
- . Monitor the effective performance of work responsibilities.

EXHIBIT IV-2
Categories of Management Information Needs on the FFP Program

<u>CATEGORY OF INFORMATION NEED</u>	<u>FFP Director</u>	<u>FFP Division Chiefs</u>	<u>PPE Director</u>	<u>AA/FVA & DAA/FVA</u>
1. <u>WORK PLANNING AND MONITORING</u>	●	●		
. Routine Volume and Schedule				
. Anticipated Emergency and Special Projects				
. Status Against Plan				
. Staffing Availability				
. Travel Budget				
2. <u>BUDGET AND COMMODITY STATUS</u>	●	●	0	0
. Annual Budget and Docket				
. Pipeline Review				
. Special Analysis for Management Decisions on Specific Proposals				
3. <u>ISSUES ALERT</u>	0	●	0	0
. Potential Emergency Assistance Situations				
. Relationships with Key Agencies				
. Management Decision or Action Required				
4. <u>COUNTRY/PROGRAM DESCRIPTIONS</u>	●	●	0	0
. Program Overview				
. Country Profiles				
5. <u>PROGRAM PLANNING AND POLICY GUIDANCE</u>	0	0	0	0
. Program Successes and Problems				
. Special Analysis for Management Assessment				

Key: ● Routine Information Need
 ○ Cyclical or Intermittant Information Need

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The kinds of information needed to provide this supervisory capability are:

- . Volume and schedule of routine requirements which constitute the core of FFP's work load
- . Projections on the nature, volume and timing of other activities, particularly anticipated emergency requests and special projects
- . The status of work load activity against plan
- . The availability of staff to perform work, including:
 - Anticipated rotation and turnover
 - Planned and anticipated TDY assignments
 - Short-term absences for annual leave, training or conference attendance
 - Projected areas of increased work load
- . The status of the travel budget to support requests for work overseas.

Work planning and monitoring information is primarily needed within the FFP Office. On an exception basis, it also provides information needed by the director and division chiefs to respond quickly to other FVA managers' requests for information on the status of program activities or the availability of FFP staff to participate in other activities and projects under consideration.

(2) Updated Budget and Commodity Status Data Are Needed to Approve Program Recommendations and to Negotiate Acceptable Interagency Agreements

The fundamental questions in FFP deliberations for responding to initial program requests and subsequent amendments are:

- . What resources are currently available for responding to the request?
- . What are the effects on the total resource pool for the fiscal year of various levels of support?

While operational staff need detailed and accurate budget, commodity and transportation data to formulate

recommendations, FVA managers also need current budget and commodity data to manage overall program operations.

Management-level budget and commodity status information needs are:

- . Annual budget and docket information
- . Pipeline review
- . Special analyses for management decisions on specific proposals.

The FFP Office director and division chiefs need budget information to supervise and guide staff and to clear staff recommendations. The PPE Office director needs FFP budget information to coordinate the Agency's PL 480 budget through PPC and the regional bureaus. The AA and DAA require summary budget information, with emphasis on pipeline review. They may require additional detailed information to support their participation in specific deliberations, e.g., proposals to provide emergency commodities in politically sensitive areas, where senior AID managers represent the Agency's position in interagency negotiations.

(3) Managers Must Be Alerted to Issues Which Affect Program Plans and Influence Critical FFP Relationships with a Variety of Organizations

The interagency coordination processes require that Bureau managers be informed on emerging or existing issues. The areas where issue alert information are required are:

- . Potential emergency assistance situations
- . Relationships with key agencies, e.g., USDA
- . When managers' decisions or actions are required.

A fundamental purpose in access to this kind of information is to reduce the possibility of top-level managers being surprised by situations that come to their attention through channels other than FFP staff. In addition, such information minimizes the potential for a hurried, "crisis management" response. For example:

- . Knowledge of potential emergency assistance situations
 - Allows FFP Office managers to anticipate and plan responses to some portion of emergency requests
 - Forewarns the AA and DAA to potential emergencies for possible review with top-level AID and other agency managers
- . Status of relationships with key agencies
 - Affords FVA managers the opportunity to strengthen relationships and to review possible problem areas as they meet with these representatives for other purposes
 - Provides background information which PPE and PVC need to oversee FVA relationships with the community of private and voluntary agencies.

Information on issues and the actions operational staff have initiated to preclude or resolve them needs to be communicated to FVA managers. With this kind of background, bureau managers are prepared to respond to inquiries, assess where actions need to be taken, and either provide guidance to operational staff or assume an active role in the problem resolution process.

(4) There Are Regular Requirements for FFP Program and Country-Descriptive Information

Several examples of management-level needs for program and country-descriptive information are:

- . Preparation of Congressional testimony and response to Congressional inquiries
- . Preparation for meetings, e.g., of the interagency committee or the World Food Program conference
- . Preparation for travel, as part of general program monitoring or to review specific situations requiring management-level attention, e.g., emergency program assistance

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- . Background for management preparation of Bureau positions in interagency negotiations, e.g., program support to Poland
- . Background for receiving visitors, e.g., mission directors, host government officials, commodity producers and shippers, and private and voluntary organization representatives.

While the specific content of individual information requests varies, there is a consistent need for information on:

- . Countries participating in Title I, II and III programs
- . Country profile
 - Basic economic-social data
 - Developmental status
- . FFP programs and project components by country
- . FFP project statistical information by country
 - Number of recipients
 - Tonnage and mix of commodities
 - Dollar value
- . Updated key issues by country
- . Audit reports available by country
- . Evaluation reports available by country.

For most purposes, descriptive program and country information needs to include current and some historical information, in the three-to-five year range.

(5) Information on Program Performance Must Be Fed Into Program Planning and Policy Guidance

FVA managers share the concern of other AID managers for linking information on program strengths and problems to program policy, operational planning and staff guidance. The objectives of these efforts are to increase the efficiency and effectiveness of program processes and the development impact of program activities.

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3. WHILE SIGNIFICANT STAFF TIME IS DEVOTED TO RESPONDING TO MANAGEMENT-LEVEL INFORMATION REQUESTS, THERE ARE SEVERAL INFORMATION GAPS AND AREAS WHERE INFORMATION DOES NOT ADEQUATELY MEET THE NEED

The analysis of FFP staff time allocation, discussed earlier in Chapter III, shows that FFP staff are spending a substantial amount of effort responding to FVA Bureau managers' requests for information. Exhibit IV-3, presented on the following pages, indicates why management information needs are currently so demanding of staff time but, in many areas, are not adequately met. The exhibit repeats the first three columns of Exhibit IV-1, shown earlier, on the information needs and frequency of use in each of nine major FFP functions. The last two columns of Exhibit IV-3 shows the current sources of information and associated processing requirements. A review of these columns demonstrates that there are gaps and inadequate information because most management-level information needs are handled as special requests, not as routine processes supported by an organized resource base. Responsible FFP staff are researching their personal files for cables, memoranda, meeting notes and program documents to develop answers to FVA managers' questions about program operations and issues.

(1) Only One of the Five Categories of Management Level Information Needs Is Currently Supported by an Automated Information System

Budget and commodity status information is maintained in two systems on the Agency's central computer. The budget and commodity data are generally responsive to managers' needs, but the data would be more useful if it were provided in summary as well as detailed formats. While summaries can be manually extracted from the automated reports, this is a time-consuming effort which does not provide ready access to updated status information on commitments and available resources.

These automated systems could be improved by reformatting the reports and deleting information which experience has shown to be infrequently used. With the current examination of Section 416 requirements for automated systems support (by M/SER/IRM), there is an opportunity to re-examine and re-evaluate how these important automated resources can better serve managers' needs for summary FFP budget and commodity data.

EXHIBIT IV-3(1)
Current Sources and Processing Requirements of Management Information Needs in Major Work Functions of the FPP Program

<u>FUNCTION</u>	<u>INFORMATION NEEDS</u>	<u>FREQUENCY OF USE</u>	<u>CURRENT SOURCES</u>	<u>CURRENT PROCESSING</u>
1. Preparing and Monitoring the Budget	<u>ROUTINE:</u> Annual Budget and periodic updates of commodity mix, tonnage, dollar value and transportation costs	Monthly and quarterly updates	Mainframe applications	Detailed automated reports with manual organization and calculation of pipeline status
	<u>SPECIAL:</u> Analysis of status and impact for program request analysis and decision making	Weekly or daily during concentrated periods in budget cycle and in program requests	Mainframe applications	Manual aggregation of automatic reports and updated information for analysis
2. Program Development, Review, and Approval	<u>ROUTINE:</u> Annual volume of requests and approved programs	Annual with periodic update	PL 480 Annual Report	Aggregation of approved programs at conclusion of fiscal year from automated reports
	Status of processing and clearance activity	Weekly with concentrated periods responding to timing	Responsible staff records	Not a routine report; available upon request by staff analysis
	<u>SPECIAL:</u> Requests requiring FVA management attention and action	As needed	Responsible staff records	Oral briefing or preparation of formal briefing paper
3. Emergency Program Coordination	<u>ROUTINE:</u> Anticipated volume of requests and budget requirements	Annual with periodic update	Responsible staff records	Not a routine report; available with aggregation of staff projections based on incoming requests and experience
	Status of processing and clearance activity	Weekly, for some cases on a daily basis	Responsible staff records	Not a routine report; available upon request by staff analysis
	<u>SPECIAL:</u> Requests requiring FVA management attention and action	As needed	Responsible staff records	Oral briefing or preparation of formal briefing paper

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EXHIBIT IV-3(2)

FUNCTION	INFORMATION NEEDS	FREQUENCY OF USE	CURRENT SOURCES	CURRENT PROCESSING
4. Monitoring and Implementation Assistance	<u>ROUTINE:</u> Analysis of implementation problems and relationships with key agencies in PL 480 programs, e.g., PVOs, shippers, host countries, and interagency members	Annual	Responsible staff records	Not a routine report; available with aggregation of staff experience
	<u>SPECIAL:</u> Problems and issues requiring FVA management attention and action	As needed	Responsible staff records	Oral briefings or preparation of formal briefing paper
5. Evaluation and Auditing	<u>ROUTINE:</u> Schedule and status of PL 480 evaluations	Annual	PPE Annual Evaluation Plan	Preparation of annual evaluation plan by PPE
	Volume and status of audit recommendations for PL 480 programs	Quarterly	Quarterly Audit Status Reports	Joint preparation by FFP and PPE staff
	<u>SPECIAL:</u> Analysis of program strengths and weaknesses	Annual	Evaluation and progress reports	No routine processes for annual impact and performance analysis
	Issues requiring policy guidance or FVA management attention and action	As needed	Responsible staff records in FFP and PPE	Oral briefing or preparation of formal briefing paper
6. Coordination of Commodity Tracking/Procurement	<u>ROUTINE:</u> Component of budgeting, programming, and monitoring information needs			
	<u>SPECIAL:</u> Problems and issues requiring FVA management attention and action	As needed	Responsible FOD staff records	Oral briefings or preparation of formal briefing paper
7. Administration of Dollar-Funded Programs	<u>ROUTINE:</u> Annual budget and periodic update	Monthly and quarterly updates	POD records	Manual aggregation of data
	<u>SPECIAL:</u> Requests for funding requiring management decision making and guidance	Several over the year	POD records	Oral briefing or preparation of formal briefing paper

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EXHIBIT IV-3(3)

<u>FUNCTION</u>	<u>INFORMATION NEEDS</u>	<u>FREQUENCY OF USE</u>	<u>CURRENT SOURCES</u>	<u>CURRENT PROCESSING</u>
8. Other Program-Related Activities	<u>ROUTINE:</u> Summary of PL 480 activities by title and country	Monthly	Responsible staff records	Analysis of personal files and preparation of program overview
	<u>SPECIAL:</u> Country profiles tailored for specific requirements	Monthly	Responsible staff records	Analysis of personal files, search for other available information and preparation of required document
	Response to Congressional inquiries			
	Response to A/AID and other AID inquiries			
	Preparation of position and issues papers			
9. General Administration	<u>ROUTINE:</u> Travel requests and status	As needed	POD and EMS records	Oral briefings or preparation of formal briefing papers
	Staffing resources and status on staffing requests	As needed	EMS records	Oral briefing or preparation of formal briefing paper
	Status of program operations	Weekly	Weekly operational staff meeting	Preparation of background and response to requests as required

(2) Work Planning and Monitoring Is Not Done on a Systematic Basis

There is a need for a series of monitoring and control systems:

- . Annual and monthly work plans which specify the assignments and due dates for major work in each of the FFP divisions
- . Staff assignment and tickler systems for:
 - Cables
 - Correspondence
 - Special assignments, such as briefing and position papers
- . Control logs on major processing steps in:
 - Title I and III sales negotiations
 - Annual Estimated Requirements (AERs) proposals
 - World Food Program proposals
 - Emergency Assistance proposals
 - Section 416 proposals
- . Annual and monthly travel budget status
- . Requests for technical assistance in the field received and filled
- . Annual projection of staff availability with quarterly updates.

These systems can be established as manual processes which may be suitable for automated support in the future.

(3) An Active File of Emerging and Pending Issues Needs to be Established

Exhibit IV-4, on the following page, suggests a short form by which staff can alert FVA managers to issues which may require their attention.

EXHIBIT IV-4

Illustration of an Issues Alert Form

FFP ISSUES ALERT FORM

Date Reported: _____ Country: _____

Staff Reporting Issue: _____

Type of Issue: (circle)

Organization Involved: (circle)

- Request for Program Support
- Request for Technical Assistance
- Implementation
- Audit/Evaluation
- Other:

- Host Government
- Voluntary Agency
- Processor/Shipper
- AID Bureau or Office
- Interagency Member
- Congress
- Other:

Description: (when occurred/details) _____

Staff Analysis of Issue: _____

Action Taken: _____ No _____ Yes _____ Date Taken

Description: _____

Follow-up:

Date Taken _____

Description: _____

- Staff would complete the form, retain a copy, and distribute a copy to their division chief and the FFP director's office
- Staff would note actions taken on their form to respond to requests for latest status
- While pending, the issues alert forms would be maintained in a central active file in the FFP director's office for periodic reference and monitoring
- When the issue was resolved, the staff copy with notes of action taken would be stored in the country files:
 - For future reference in later developments which may arise
 - To assure that appropriate action was taken
 - To document action taken if questions are raised by other interested parties outside the FFP Office
- The issues alert forms would be removed from the country files on a periodic basis, probably annually.

The usefulness of such a system will depend upon the extent to which managers provide explicit guidance on the kinds of issues they want directed to their attention as well as staff discipline in maintaining the system. In return for an insignificant amount of additional paperwork, this approach helps to guard against issues "falling between the cracks" and will facilitate work planning and communication.

(4) Country/Program Descriptions Need to be Maintained in Several Forms

Both manual and automated systems are needed to maintain updated country and program descriptions to serve the variety of uses for this kind of information.

- Manual systems are needed to organize and store the large volume of documents and paperwork on FFP activities in a country, including:
 - Program documents
 - Progress reports

- Cables
 - Action memoranda
 - Meeting notes
 - Conversation/telephone notes
 - Issues alert forms
 - Evaluation and audit reports.
- Automated systems are needed to profile key data elements and to provide the capability to effectively research and respond to an information request.

Country documentation needs to be maintained in a central recordkeeping system accessible by all bureau staff.

There is a wide range of options available for automated support:

- The file structure for an FFP country/program/project profile has been established on the Agency's central computer, following a 1979 detailed design study.
 - These modules have not been implemented and are not currently available for use.
 - The design could be re-evaluated to determine its usefulness for the bureau's existing requirements.
- Narrative on countries and the FFP program which are recurringly used in briefing papers, correspondence and other documents, could be stored on the Wang OIS 140 for ready access and tailoring to meet specific information needs.
- Data bases with frequently used descriptive information could be stored on the Bureau's newly acquired microcomputer for both routine and special analyses.

Further investigation of the kinds of data elements needed and applications which would be used is necessary to determine the most effective use of these available automation resources.

(5) Program Planning and Policy Guidance Would be Supported Through Information Routinely Accessible From Other Systems and Processes

Planning and policy information needs represent analysis of the implications of information gathered for other purposes. The availability of country and program descriptive information, as well as information on program issues, is essential for FFP and PPE staff to determine patterns and trends indicating overall FFP program performance.

4. THE ESTABLISHMENT OF RECORDKEEPING, WORK PLANNING AND WORK MONITORING PROCEDURES IS NECESSARY FOR THE CREATION OF AN EFFECTIVE MANAGEMENT INFORMATION RETRIEVAL CAPABILITY

The necessary first step in improved management-level information on the FFP program is the establishment of basic records management capabilities. There is a need for a central control point in the FFP office to manage the large volume of paper which flows through the office. As indicated in Chapter III on FFP staffing requirements, central recordkeeping and paper work control functions are in keeping with POD's program support responsibilities. The basic requirements to establish this system include:

- . Creation of country, program, budget, personnel and all other FFP records in POD
- . Assignment of responsibility for maintenance, distribution and routine updating of records to POD support staff
 - Primary responsibility to the program operations assistant position
 - Support from the three secretarial positions
- . Definition of clear procedures for paper flow between POD and the FFP divisions and incorporation of such recordkeeping responsibilities in the job descriptions of program operations assistant positions in each of the FFP divisions and the director's office.

There is also a need to establish accountability for the maintenance and improvement of automated systems support in a single staff position. Again, such responsibility is in keeping with POD's functions and would permit POD to devote concentrated staff effort to the development and provision of information responsive to FVA managers' and to FFP staff's information needs. Time needs to be

made available for staff training to gain broader automation knowledge and skills, for creating new and revised data bases and reporting capabilities, and for conducting special analyses as required. As indicated in Chapter III, such responsibilities are projected to require half a staff year of effort.

Work planning and monitoring procedures are needed to support the various systems required for management control, these systems including:

- . Cable and correspondence control
- . Annual and monthly work plans
- . Program and travel budget status
- . Issues alert.

The deputy director of the FFP Office has primary responsibility for these procedures through the three division chiefs. The program operations assistant in the Director's Office needs to maintain the systems for ready reference by FFP managers in carrying out their work management and supervision roles as well as in responding to requests from other FVA managers.

5. INITIAL CREATION OF THE SYSTEMS AND PROCEDURES TO SUPPORT MORE RESPONSIVE MANAGEMENT INFORMATION WILL REQUIRE SIGNIFICANT EFFORT AND WILL REQUIRE CONTINUED MANAGEMENT ATTENTION

The organization of existing FFP information and development of procedures supporting routine information gathering, storage and retrieval processes will require a high investment of FFP staff time. Accomplishment of these start-up tasks is expected to require outside expertise to supplement FFP staff whose operational work load does not permit sufficient time to concentrate on the development of the needed manuals and automated information systems.

The activities which must be undertaken to meet FFP management-level information needs are summarized below:

- . Fill vacancies in secretarial and program operations assistant positions
- . Replace one secretarial position in the director's office with one program operations assistant position
- . Assign central recordkeeping and management information responsibilities to POD

- Establish primary responsibility for maintaining central FFP records in the POD program operations assistant position
- Establish responsibility for supporting the program operations assistant's role in the three POD secretarial positions
- Establish responsibility for automated management information support in one of the POD program analyst positions
- . Obtain in-house technical assistance from M/SER/MO in designing a central recordkeeping system in FFP
- . Obtain technical assistance from the Office of Information Resource Management in the design and implementation of manual and automated information systems.

There is a clear need for improved information systems in the FFP program. Work to develop such capabilities needs to be given a high priority by FVA managers. While the assignment of clear responsibilities to FFP staff for maintaining these systems should minimize the possibility of their falling into disuse as a result of more compelling work demands, FFP managers must take the lead in emphasizing the continued value and necessity of these critical resources and capabilities.