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ORGANIZATIONAL MODELS FOR
A.I.D. PROJECT ACTIVITY IN AFRICA

Contract AID/afr 772
Report No. 71-2
July 30, 1971

Action Programs International, Santa Monica, California, U. S. A.

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A. Introduction

Under Contract AID/afr 772, dated April 19, 1971, Action Programs International (API) was asked to design an improved Area Development Office (ADO) organizational model and a general organizational model for future overseas project activity. The effort was divided into three Phases: 1) Briefing, Familiarization and Examination; 2) Model Design and Development; 3) Model Review.

Phase 1 was undertaken in Washington, April 25-30, and on a field trip to West Africa, May 11-28. An API team of Edward Rubin, Howard McFarland and J. K. Fordyce participated. A professional background summary is provided in Appendix A. James Holtaway, AFR/MGT, gave continuous and close support to the contractor before, during and after the Washington and field visits. Resource material provided by Mr. Holtaway and others is listed in Appendix B.

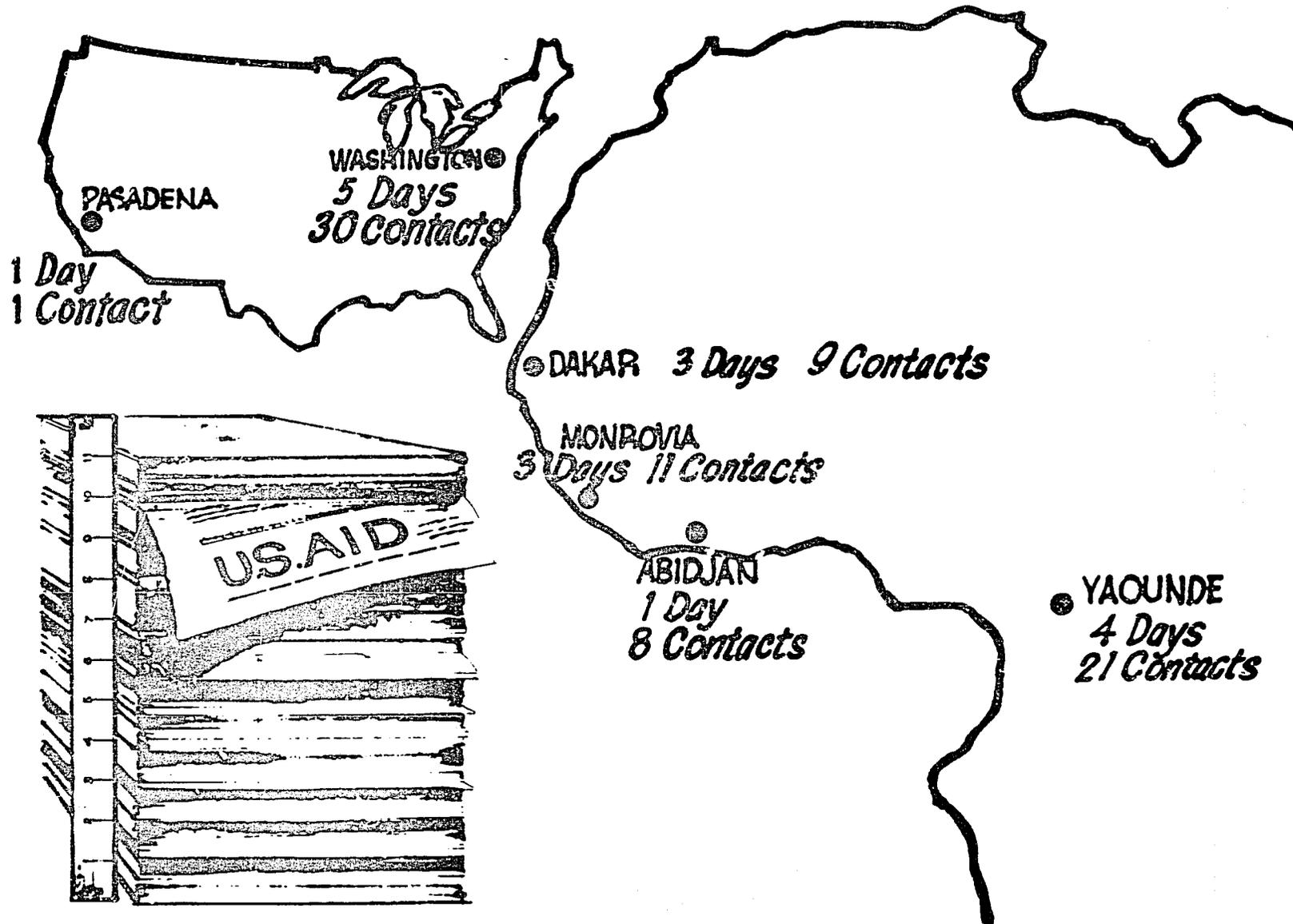
The AID/W review covered AID organizational structure, general policy and program objectives, U.S. assistance strategy in Africa, African institutional settings and other internal parameters and external constraints affecting API's assignment. Individuals or group discussions of these matters were held with thirty AID/W personnel, Appendix C.

The field trip, Chart 1, covered the ADOs at Dakar, Senegal and Yaounde, Cameroun; the WARCDO at Abidjan, Ivory Coast; and the USAID at Monrovia, Liberia. An interview was also conducted with the Niamey Area Development Officer on leave in Pasadena, California. All available U.S. personnel were interviewed at each location. In addition, talks were held with some host country representatives, contractors, PASAs and representatives of other donor institutions. At Dakar and Yaounde, U.S. Embassy personnel were included in the discussions. Appendix C contains also a listing of people seen in the field.

Phase 2, Model Design and Development, was undertaken at the company's home location at Santa Monica, California. Roy Stacy, AFR/DP, participated in this phase as well as assisting throughout the contract. The contractor developed the series of charts which form part of this report. Charts 1 and 2 are introductory. Charts 3-8 illustrate the contractor's observations concerning project activity, primarily at the ADOs, as perceived by the field or as found by the contractor. Charts 9-17 are the recommended organizational models, job characteristics, work flow, and associated recommendations, designed to alleviate problems observed.

It was decided to conduct Phase 3, Model Review, in two parts. First, to present the observations, models and recommendations to a broadly representative group of AID/W personnel to obtain the benefit of their comments. This was done by the API team in four discussion meetings on July 6 and 7. A list of participants is in Appendix D. Second, to integrate the comments and changes in preparing this final report.

Briefings and Familiarization



B. Guidelines

The Africa Bureau believes it has provided a sound organizational base for continued improvement of project activity by establishing the ADOs and the regional capital assistance offices. The contractor's study is to check that assumption.

Any changes proposed by the contractor should reinforce the directives of the new foreign assistance policy. The contractor's study must fully rationalize any contra recommendations.

The contractor believes that it is vital to the success of any project activity that there be one strong project focal point for communication, action and control. Further, it is the contractor's experience that in economic and social development, where work takes place in an environment of continuous change, the focal point must also be the chief agent of change. The contractor seeks, therefore, to build this kind of a role into the AID project system.

The contractor submits a series of definitions (Chart 2) to establish a clear terminology for the study. The fourth such definition, Aid Project Manager (APM), is used to describe the manager responsible for meeting AID project ends. Other managers in the system, such as the Counterpart Project Manager (CPM), the Contractor Chief of Party or another donor's Project Manager, have related but identifiably different ends. The contractor believes that the U. S. Government should not put the APM's responsibilities in the hands of an intermediary or intermediaries.

DEFINITIONS

1. PROJECT: IDENTIFIABLE BODY OF WORK WITH A SCHEDULED BEGINNING AND END AND MEASURABLE GOAL/PURPOSES.
2. MANAGER: ONE WHO MAKES JUDICIOUS USE OF MEANS IN THE ACHIEVEMENT OF ENDS.
3. PROJECT MANAGER: THE APPLICATION OF 2 TO 1.
4. A.I.D. PROJECT MANAGER APM : MAKES JUDICIOUS USE OF MEANS IN MEETING A.I.D. PROJECT ENDS.

C. Contractor's Observations

1. AID projects are of an unfolding nature.

There are several inherent reasons for this assertion. AID projects rely to a greater or lesser degree on parties outside of AID's direct control. They involve applying known technology to a less known environment, and are thus partially experimental. They frequently involve assisting in the birth of new institutions, and this process has many unknowns and assumptions. Finally, a primary goal of an AID project is to transfer operating management to the host country and the timing and extent of this transfer is difficult to predict.

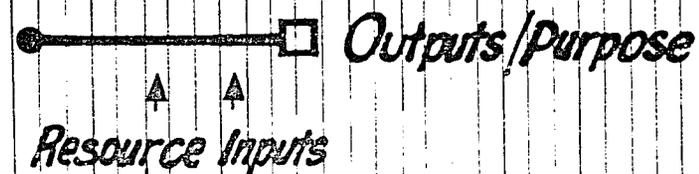
AID projects are therefore filled with uncertainties and subject to continual replanning. They are at the opposite end of the scale from an engineering project in a developed country, where project management is essentially scheduling and fiscal management to relatively fixed plans and specifications.

Chart 3 illustrates typical changes that occur during the life of a project. In the Identification Phase, the resource inputs are seen as leading fairly directly to the outputs, but the problems have not yet surfaced. By the Design Phase, there has probably been a schedule change, perhaps some input changes and some ideas for a variation in outputs. The path to the purpose is less direct. By the time the project is actually implemented, problems will have surfaced and alternate paths around them have had to be determined. The problems will concern people as much or more as events. Roles will change as the Counterpart Project Manager gains experience, or other donor activity peaks.

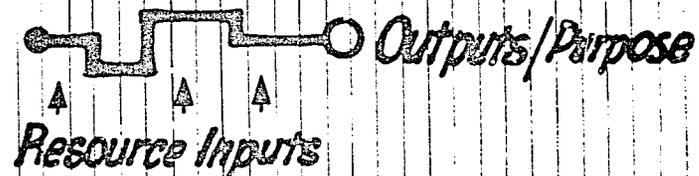
The API team saw that the AID Project Manager needed to be a strong, resourceful person in order to cope with the continual requirement for replanning and redefinition of roles and events. They saw the unfolding nature of AID projects as requiring more authority in the field than projects where change is the exception, not the rule.

AID Projects Unfold

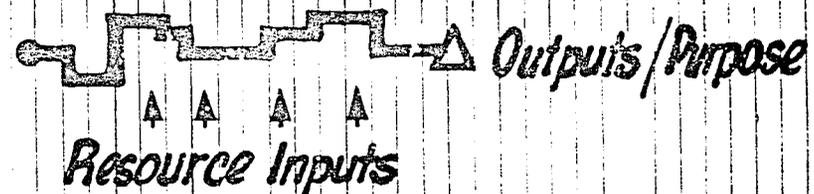
Identification Phase



Design Phase



Implementation Phase



CALENDAR MOS

Contractor's Observations (cont'd.)

2. AID projects have great structural variety.

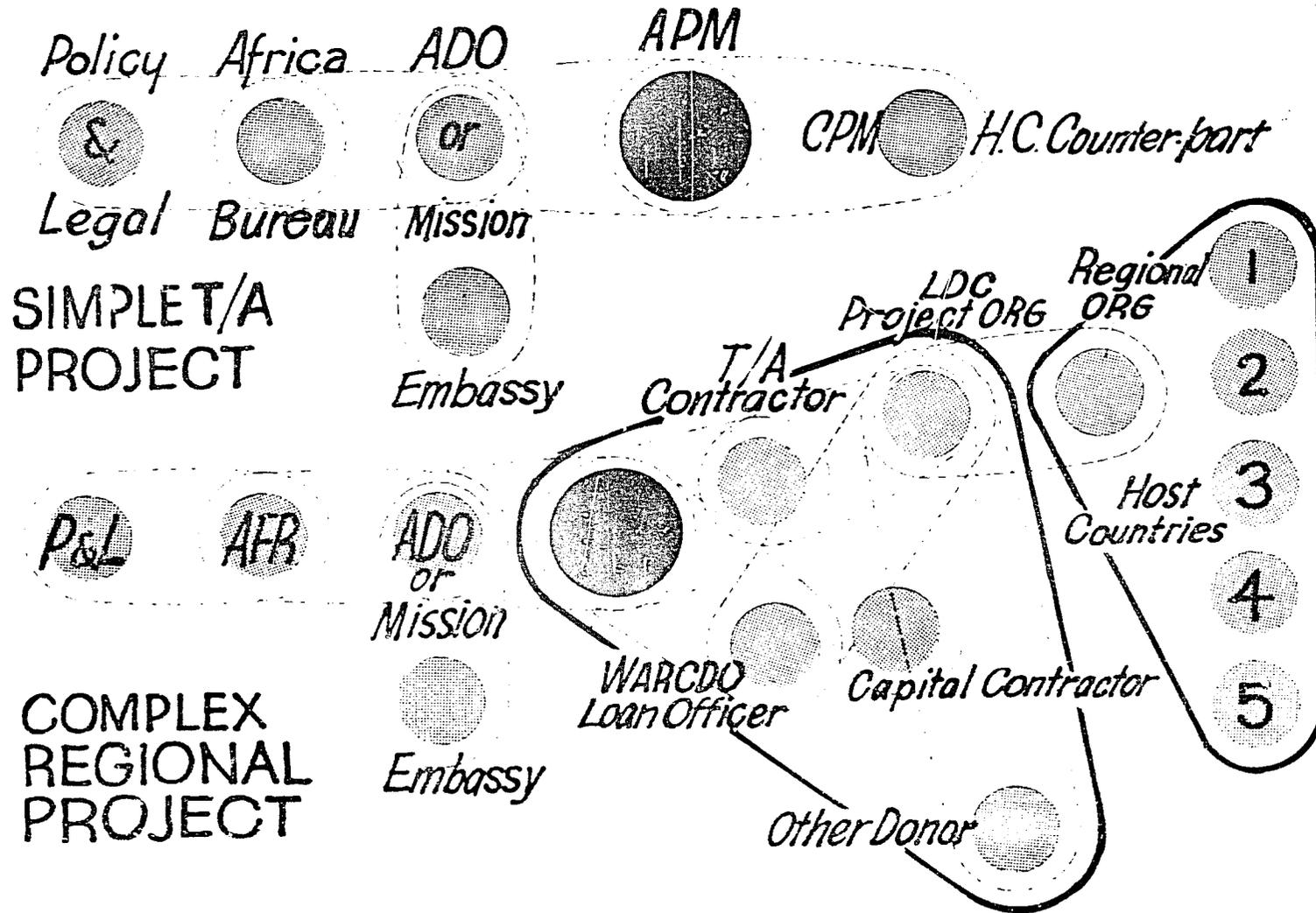
Chart 4 illustrates a simple and a complex project structure, utilizing elements from projects which the API team observed.

The simple structure, analogous to the chicken production project in Mali, involves the AID Project Manager dealing with the host country counterpart in the conduct of the project. He receives his policy direction from an ADO who has lateral relationships with the U.S. Embassy in the host country and receives his policy direction from his management in the Africa Bureau, and so on up the line in AID. There are other relationships in the picture, but these are the principal ones bearing on the conduct of this type of project.

The complex project is analogous to the livestock project in the Entente States. The Chart shows the large number and variety of organizational linkages involved during project implementation. The APM must concern himself with any significant project problems arising out of the activities of any project team member (shown in the large gray triangle on the chart), since all have a bearing on meeting AID project ends. This is true even if AID is a minority donor, in which case another donor's project manager is taking the lead management role. He will need assistance from his ADO when problems arise outside the project team (the Regional Organization in the example on Chart 4).

Despite the great variety of project structures, the API team saw the AID Project Manager role as carrying the same essential responsibility -- that of marshalling AID inputs to attain outputs which meet project purposes and AID policy. Different relationships, emphases and strategies were involved, depending on the project configuration. The team saw no need to develop a typology of project managers, matched to typical project configurations. They did see a need for a full definition of the responsibility and authority of the APM and of the assistance required to make him effective.

Project Structural Variables



Contractor's Observations (cont'd.)

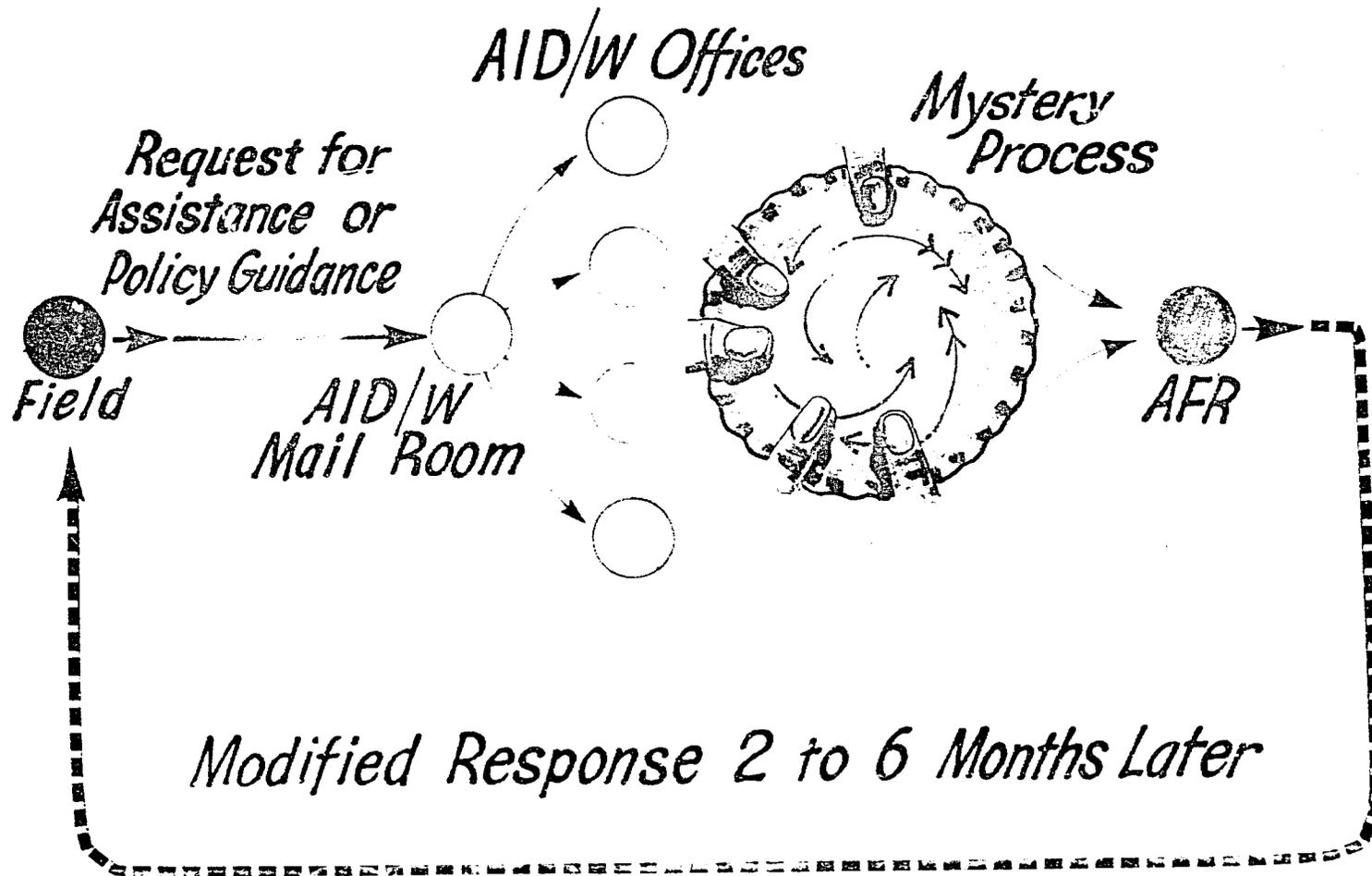
3. The field's perception of the AID/W process is unclear and ambiguous.

From the field viewpoint, requests for assistance or policy guidance are distributed to a variety of offices in AID/W, and after a lengthy and somewhat "mysterious" process, responses are returned, modified but without explanation, under the general signature of the Africa Bureau (Chart 5). This process suffers by contrast to field requests to WARCD, where answers are much more readily available. Requests involving T/A and loan coordination in AID/W are especially slow.

Ambiguity arises in part from the dual role of the AID/W Desk, which has both a field support function and a policy guidance and direction function. Since the APM does not ordinarily participate in the AID/W process, he tends to see the Desk as emphasizing the policy role, resulting in second-guessing of field recommendations and decisions and in requirements for additional information for AID/W purposes.

The API team saw that the lack of understanding of the AID/W process is a demotivator, making the field reluctant to ask for assistance for fear they will get the "wrong" answer. There appeared to be not only a need for clarifying the process, and the duality in the Desk roles, but also to provide a more direct response point to field requests in AID/W. The problem appeared part of a larger one of diffusion of authority that the team observed in AID/W.

Field Perception of AID/W Process



Contractor's Observations (cont'd.)

4. The AID Project Manager lacks visibility.

Direct discussions with Project Managers revealed a number of common frustrations. They felt they had much more responsibility than authority. They saw others as having the authority to act, with their own role easily becoming just an information link and potential scapegoat in the event of trouble. They saw more plaudits and rewards going to those who identify new projects or get PROPs approved than to those who get them implemented. They tended to see themselves inconspicuously at the bottom of a large and inverted pyramid representing the AID hierarchy (Chart 6).

The API team found the Project Managers to be capable and well-motivated individuals who were coping with their jobs despite the frustrations. The more aggressive ones were taking the necessary authority when needed; others were more information links than centers of action. All saw the potential for doing a better job if the AID Project Manager were recognized as the center of AID implementation effort.

Project Manager Visibility



Contractor's Observations (cont'd.)

5. AID project activity needs improved teamwork.

Chart 7 shows the AID Project Manager as the focal point of two teams -- the AID team and the project team. Successful project implementation depends on both of these groups operating as effective teams, yet there are an unusual number of inhibiting forces. On the AID side, there are the problems in the project management role already discussed. On the project team side, there are principals who operate from different power bases, with different backgrounds, interests and objectives, and the psychological problems inherent in the donor-recipient relationship. This situation is strengthened by only one official chain of authority -- that from AID/Washington, through the ADO or Mission to the Project Manager.

The API team examined the quality of teamwork, using the following criteria as an ideal:

- Thinking and working in terms of "we" -- inclusion rather than exclusion.
- Confronting issues directly and specifically.
- Free flow of feedback in the system.
- Giving, seeking and receiving practical and psychological support.
- Initiating action to solve chronic problems, not living with them.
- Pooling resources and experience.
- High personal investment in organizational objectives.
- Working problems on the basis of issues, not extraneous factors such as power and status.
- Acknowledging the importance and legitimacy of people's feelings.
- Valuing and using conflict effectively.
- High trust.
- Routine joint critiques of progress and teamwork.
- Open communication.

Contractor's Observations (cont'd.)

The team's experience in its brief exposure indicates that teamwork in AID meets usual standards, but falls short of the above criteria. This deserves special attention because of the complexity of the AID project situation with its unique need for effective team operations. The team observed that:

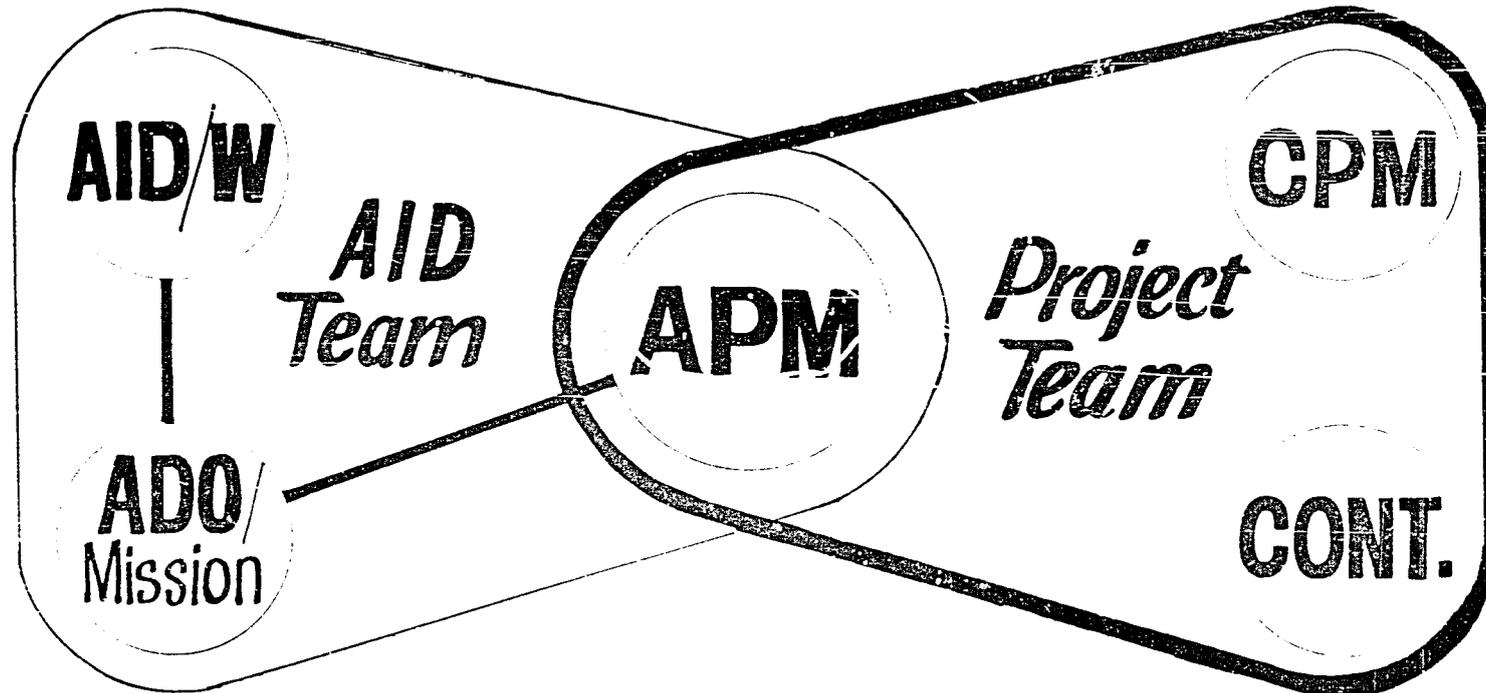
- People talked in terms of "I and they" or "we and they". They tended to exclude rather than include, and thus did not feel like a team.
- Many people feel relatively isolated and powerless in the system, and find it easier to work around problems and problem people rather than dealing with them directly.
- There was no systematic attempt to secure feedback from the downward flow of policy and operational directives or among team members of their performances.
- There was a hesitancy about moving into another man's "territory" for the free flow give-and-take necessary in a close-knit team.
- There was little effort to pool experience. Lessons from project experience do not seem to be finding their way systematically to other projects.
- Meetings and agendas tended to be dominated by those with the most status and power.
- Washington/field relationships most often are seen as "adversary relationships".
- Communications are generally not open. People felt that a free expression of their views might not be welcomed or even tolerated at the other end of the line.
- Members of groups that should be functioning as teams are missing at key events, and thus not able to present their position. They may be by-passed on communications and hear about decisions vital to them after the fact.
- Understandings between people were frequently not clear. They proceeded on assumptions or failed to address troublesome issues.

Contractor's Observations (cont'd.)

- The problem identification process tends to be viewed in negative terms, as a source of roadblocks and possible criticism, rather than as a source of help. For example, reviews by Washington tend to be viewed with suspicion, not as an aid to doing a better job.

One of the ideal criteria listed above is high personal investment in organizational objectives. The team found this to be characteristic of AID personnel throughout the system. Fortunately, this is a basic criteria upon which many of the other aspects of teamwork can be developed. The organizational setup of the ADO, wherein all ADOs report to the Director, CWR, also lends itself to team development.

TEAMWORK



NEED: "WE"

SITUATION: "I-They" / "We-They"

Contractor's Observations (cont'd.)

6. The AID system lacks capacity for self-generated change.

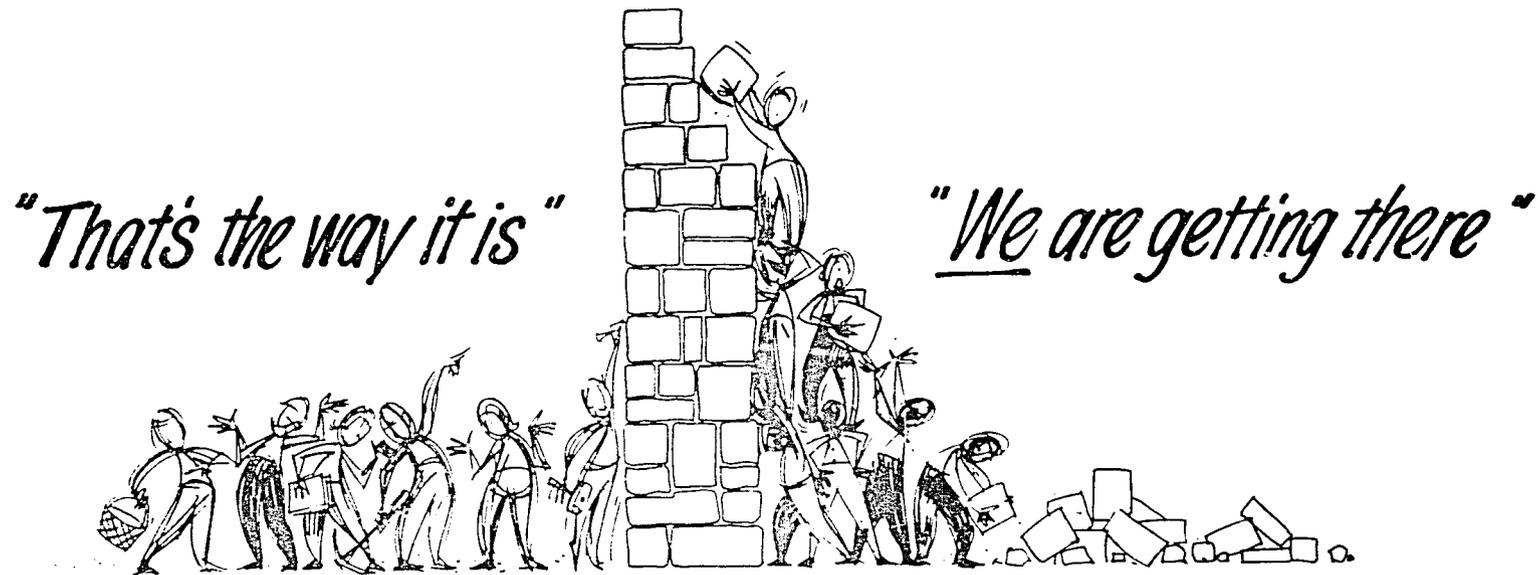
The Africa Bureau has been actively and successfully pursuing improvement and change, but its initiation has rested largely on the shoulders of a few people. The team found deficiencies in what it has called "self-generated change" (Chart 8).

Self-generated change means the widespread and successful assumption of responsibility for continuous change and improvement in an organization. This capacity is crucial to maintaining the health and vigor of any complex organization. Without it, the organization becomes encrusted with barnacles of all types: cumbersome procedures, ambiguous organization structure and poor relationships. Large organizations must keep their own system efficient. They cannot be made efficient by a few dedicated and able people.

✓ || The team found in its talks within the Africa Bureau a considerable amount of "that's the way it is", an acceptance of undesirable conditions and a tendency to work around the system and the people in it. There seems to be some feeling of impotence and isolation, and the problems loom as a large immovable wall to be talked about in abstract, rather than specific terms. Self-generated change comes about through people jointly confronting and working on specific problems. Such change occurs through a persistent series of small steps, a block at a time, as problems are identified. This process must also be a two-way street: "I'm willing to work on your problems if you're willing to work on mine". In contrast to this, the team found agendas largely set by those higher up in the hierarchy.

Self-generated change is a vital factor in motivation. People who live with problems become demotivated; those who get together around problems and try to dispose of them become motivated.

Self-Generated Change



Organizations develop (change) through how people work together around specific problems.

"I'm willing to work on your problems if you're willing to work on mine"

D. ADO Organizational Model

Chart 9 is the organization API recommends for the Area Development Offices. The model will be explained by a brief description followed by a listing of differences from present practice, with the rationale for the changes.

1. Description

The model calls for three operating and four staff functions. The operating functions are AID Project Managers, a Program Office and Sector Specialists. The staff functions are Administration, Controller, Contracts and Legal, and the AID/W Representative. The staff functions would not ordinarily be performed by personnel attached to the ADO, but by the local U. S. Embassy in the case of Administration, and by assignees in other AID organizations in the other cases. The word assignee means an individual in AID/W or any other AID field organization, designated to handle the work of the specific ADO. On Chart 9, the lines from the staff functions to the ADO are shown solid, but this indicates that the ADO is accountable for seeing that these functions perform their job for him, and not that he will be their direct supervisor.

2. Differences from present practice.

The line operating function of project management is shown reporting directly to the ADO without intervening supervision. At present, there may be a technical specialist, or the Program Office (officially or unofficially) in between. The AID Project Manager becomes the single point for management responsibility for meeting AID project objectives. As the project unfolds, he sees that a viable and visible plan is maintained for the near term, that consistent progress is made towards project objectives, and that the integrity of relationships is maintained. The direct line to the ADO, who can bring to bear additional resources when needed, together with the responsibilities and authorities listed under E, below, will provide the APM the tools he needs to keep the most complex project team moving ahead.

The major function of the Program Office will be the forward planning activities of the ADO. These include project identification and design, the processing of a project through the issuance of the Project Authorization (PA), and the present responsibility for coordinating funding projections. It will also continue the administration of loans, in cooperation with EARCDO and WARCDO, and the administration of AID-wide programs as assigned by the ADO.

ADO Organizational Model (cont'd.)

Many Program Offices have in the past encompassed both forward planning and operations, acting in staff and/or line capacities, depending on the setup of each field organization. The recommended change is to separate clearly the responsibility for implementing specific projects from the Program Office, thus freeing them for more concentrated work in project identification and design.

In carrying out its project identification and design function, the Program Office should have assigned to it on a temporary basis, a technically knowledgeable APM, a Sector Specialist, or a technical TDY or consulting team, depending on the nature of the project and the personnel available at the ADO. Competent technical input is a prerequisite for project success; there is no intention to underestimate its importance. However, it is believed the Program Officer will be the best team captain to spearhead the effort to get an approved PROP, and one with realistic cost estimates. API sees three fundamental screening questions for a proposed project: Will it make a difference in reaching the organization's goals?; is it do-able?; and should AID do it? API thinks the Program Office, properly supported technically, is where this initial screening should take place. In the design phase, the Program Office should be in the best position to use an interdisciplinary approach, and to give adequate weight to the principles and problems of institutionalization.

It is noted that the Area Development Officer may want to be his own Acting Program Officer. Strengthening of the APM role will enable the ADO to spend additional time on forward planning and he may not want to delegate that function.

The functions of the Sector Specialists will be to provide technical support to the Program Office during the project identification and design stages and to the APM during project implementation. They would also be a staff resource to the ADO in his effort to contribute more effectively to overall sector development, to provide linkages among projects and sectors; and to elicit cooperation from technical personnel in host country Ministries.

Two of the Africa Bureau directives are to target activity on a few, larger projects addressing core problems, and to concentrate on a limited number of economic and social sectors. These directives mean that a particular ADO might not require any Sector Specialists on the staff but could use TDY specialists. The workload of another ADO might require an agricultural or a health specialist.

ADO Organizational Model (cont'd.)

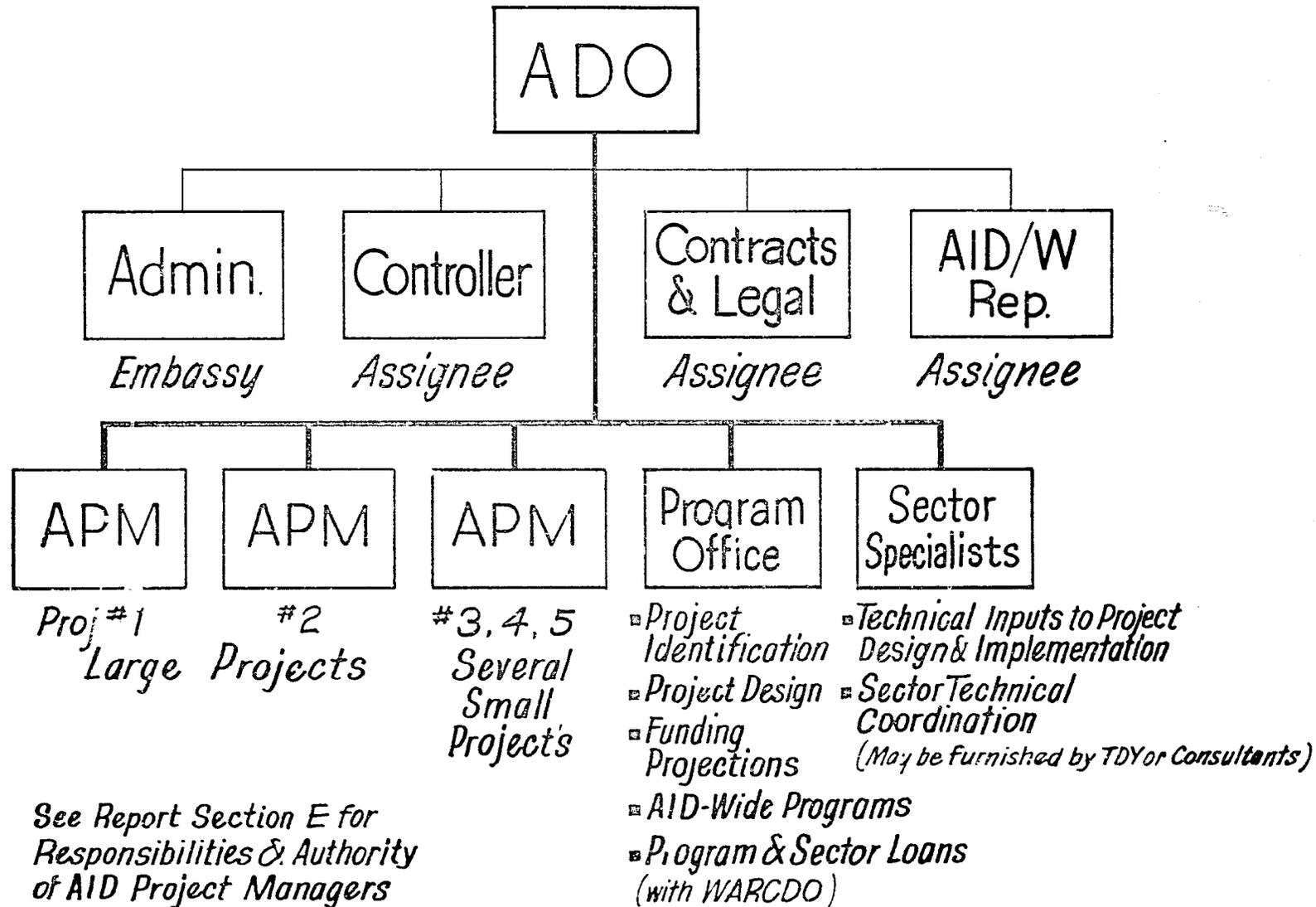
Where there is ongoing work in a sector, and the APM is technically based, it will be possible for the APM to double as the Sector Specialist. However, the APM is a management-oriented person (see F, below), and would ask for help in his technical support work rather than to affect adversely his project activity.

The staff functions of Administration, Controller and Contracts and Legal require no special explanation. Organizations providing these services to the ADO would appoint a specific individual (the assignee) to handle the work of that ADO. This would alleviate the "mystery process", referred to above. Although there would be no change in reporting, it is suggested that the ADOs do an evaluation letter on their respective assignees which would be used in personnel evaluations.

The case of the assigned AID/W Representative requires additional comment. This report has already stated the need to clear up the ambiguity concerning the support and the policy guidance/direction functions of AID/W, and for the need to provide a more direct response point for field requests for assistance. The clearest and simplest way to do both is to have specific individuals in CWR supporting specific ADOs and have them report to the ADO. This is possible without major organizational change, since the ADOs themselves report to the Director, CWR.

The API team showed this solution on the organizational model presented in Washington. The consensus was that desk officer functions form an integral package and that field support cannot be performed as a separate function by someone who is not fully knowledgeable of the geographic area and its programs. The API team did not examine all functions of the AID/W Desk. It does believe that as the APM role strengthens, the need will also build for an AID/W Representative reporting to the field. Until such time, the assigned Representative solution will work, provided it is understood the priority task of the assignee is field support. The evaluation letter recommended above for the other assignees would be applicable here as well.

ADO Organizational Model



E. Responsibilities and Authorities

1. The AID Project Manager

Chart 10 is close to a recommended job description for the AID Project Manager, since the responsibilities and authorities listed cover his main proposed activities. A question arose concerning item "J" during the AID/W review. The view expressed was that the Program Office should have the project evaluation and review function as a check and balance on the APM. This would remove an important aspect of management from the APMs. The new evaluation system is a management tool which competent, experienced APMs would want to use, and use objectively. It is recognized that the evaluation system is still in a break in period. It would be reasonable for the ADO, who is responsible for seeing that good evaluations take place, delegate the Program Office to train the APMs in the evaluation process, during the first cycle of the new system.

RESPONSIBILITIES AND AUTHORITY OF THE APM

Chart 10

Responsibilities Relative to Assigned Projects

- A. Manages all project relationships for AID with host country, contractors, other donors and technical assistance organizations.
- B. Monitors all key events affecting total project, assesses implications for AID activity, and assures that appropriate actions are taken.
- C. Develops and utilizes team relations in all aspects of project.
- D. Transfers management skills to Counterpart Project Manager (CPM).
- E. Defines, redefines and schedules AID inputs and outputs.
- F. Assures efficient use of AID inputs and outputs through issuance and updating of thorough and timely work plans and other appropriate means.
- G. Assures realistic relationship of outputs to project purposes, goal, and broader AID management and host country objectives.
- H. Gains and maintains host country confidence and satisfaction by good performance and sustained project progress toward timely completion.
- I. Makes informative, timely and concise status reports and budget projections.
- J. Assures periodic evaluation and prepares PAR.

Authority Relative to Assigned Projects

- A. Controls all AID communications regarding the project. All outgoing communications are approved by him; all incoming are received by him. All significant discussions concerning the project will involve him or be reported to him.
- B. Issues all project operating documents, including work plans, PROP revisions and PARs.
- C. Prepares Project Agreements and PIOs.
- D. Issues all status reports and budget projections for U. S. or other project team members' use.
- E. Is involved before the fact in all decisions related to or affecting his project, including interpretation or change in the contract of an implementing agent.

Responsibilities and Authorities (cont'd.)

2. The Area Development Officer

AID/W sets area and sector strategy, interacting with ADOs. The ADO carries out that strategy. In the proposed system, the ADO delegates the implementation of particular projects to APMs. It was felt desirable to list the responsibilities and authority of the Area Development Officer, since his is the lead role in the ADO model. This is done in Chart 11.

REPOSIBILITIES AND AUTHORITY OF THE ADO

Responsibilities

- A. Insures that AID objectives and program strategies for his area are met. Proposes modifications to meet changing conditions.
- B. Develops relations with host country Governments, regional institutions and other donor organizations, leading to collaborative efforts.
- C. Insures effectiveness of assigned Project Managers through good supervisory practices and team building.
- D. Insures that needed new projects are identified and designed.
- E. Maintains adequate staffing.
- F. Acts as liaison between Ambassadors and AID in countries included in his area.
- G. Makes available AID resources not delegated to the direction or control of the Project Manager.
- H. Keeps other AID entities informed of work status and projections.

Authority

- A. Carries out approved program strategies. Establishes project priorities as required.
- B. Represents AID as authorized with local Ambassadors and host country Governments, regional institutions, other U. S. agencies and other donors.
- C. Controls communications to and from his organization.
- D. Initiates staffing and personnel actions.
- E. Makes final selection of Project Managers and other positions in his organization.
- F. Delegates needed authority to his staff.

F. AID Project Manager Characteristics

Chart 12 is provided as an assistance in selecting APMs. In summary, the APM as the chief change agent should be skilled both in project management and in the management of human processes. It is unlikely that one person will have all the characteristics listed on the Chart. Weak items will require more support in that area from his management. Many of the AID managers seen in the field measured up well when checked against the list.

A.I.D. PROJECT MANAGER CHARACTERISTICS

- A. Is a well-informed generalist or a broad-gauged technician: in either case, with a reputation for getting things done.
- B. Wants and seeks the job; welcomes responsibility.
- C. Genuinely interested in other cultures.
- D. A team worker; ability to get things done through others.
- E. Optimistic.
- F. Low fear of risk.
- G. Self-confident but humble.
- H. Resourceful and innovative.
- I. A self-starter.
- J. Forthright.
- K. Not easily frustrated; tenacious
- L. Communicates well verbally and in writing.

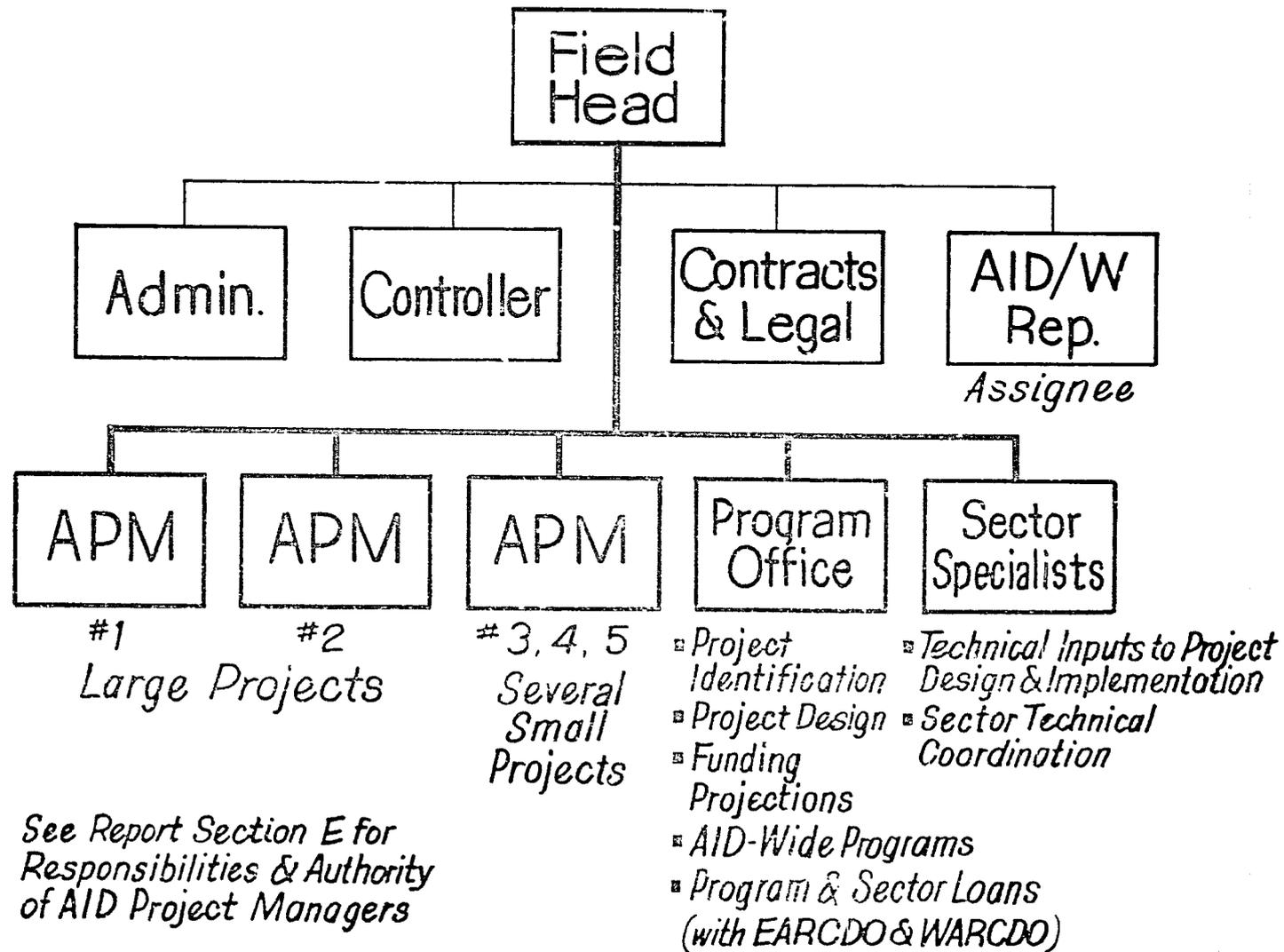
G. General Organizational Model

The API team gave priority to examining the ADO as a base for improved project activity. It was impressed with the emphasis the ADOs placed on getting the job done and with the understanding and enthusiasm with which they support the ADO concept. The team saw only one Mission, primarily as a comparison with the ADOs. It happened to be one which had recently reduced its staff and was successfully, in the team's opinion, making a transition from a large organization to a much tighter, more job-oriented one.

With this experience, it was natural for the team to conclude that the ADO model, which incorporates fundamentals of good project management, would be applicable with few changes to the smaller Missions. The General Organizational Model, Chart 13, therefore differs from the ADO model only in two respects: 1) Many staff functions would probably require Mission-based personnel rather than assignees at Washington or in other locations; and 2) Sector Specialists would probably be Mission-based rather than TDY. It is noted that there is no Deputy Head in the general model: This is not only because of the small Mission aspect, but because API believes one head with direct communication down the line is greatly preferable to a one-over-one situation.

Both the new general directives and the policy guidelines of the Africa Bureau call for less AID personnel in the field, working on fewer projects, with more impact. The recommended General Organizational Model may therefore be increasingly applicable as the transition takes place.

General Organizational Model



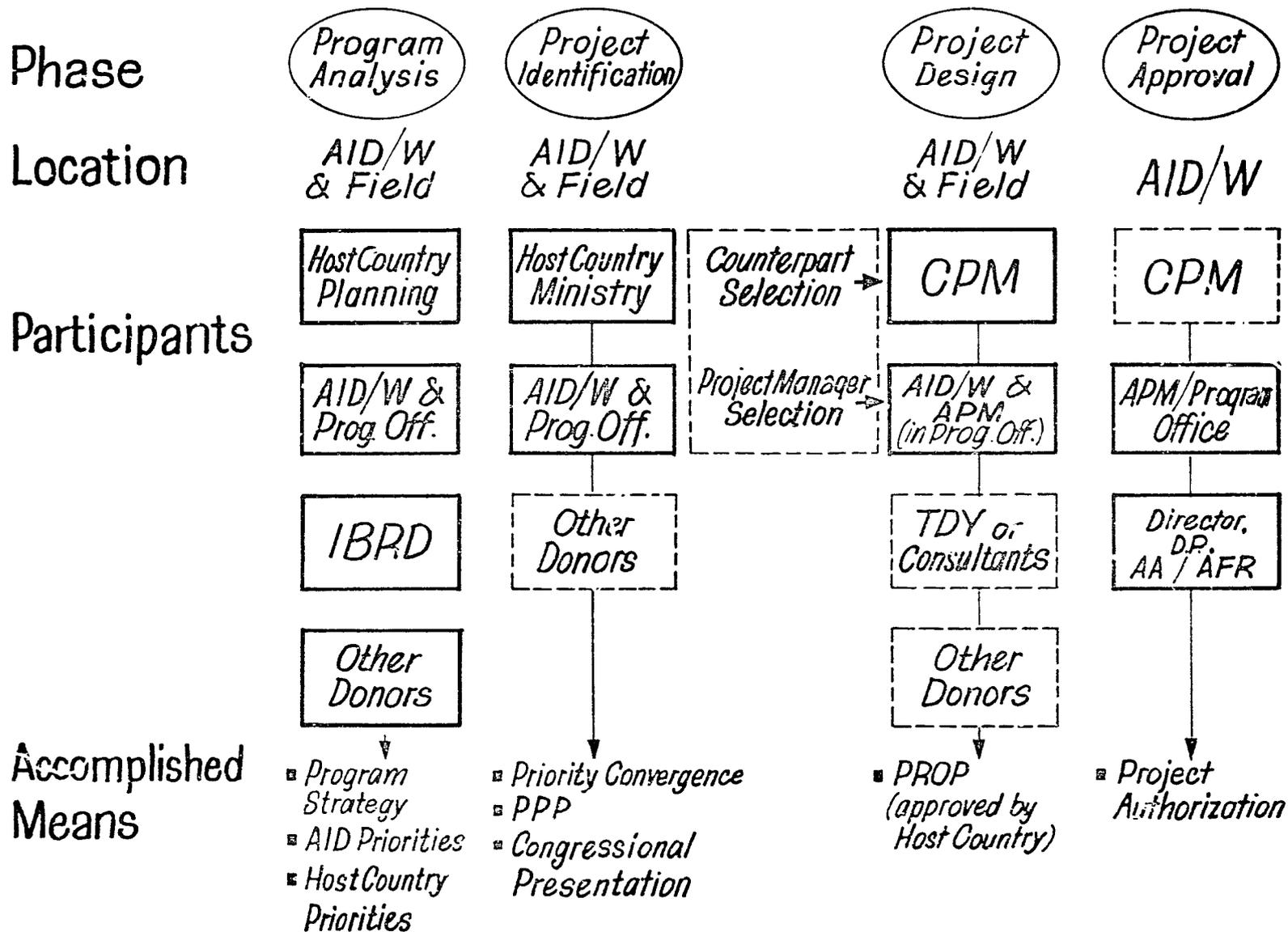
H. Technical Assistance Project Cycle

Charts 14 and 15 were prepared to show how the new organizational models would work in an improved AID project system. It was decided to illustrate the flow of work for a T/A project to keep the illustration clear. Capital projects have different paperwork and certain other differences in the project cycle, but the principles set forth below for T/A projects would apply equally well.

Chart 14 covers the development part of the project cycle and Chart 15, implementation. The Charts represent an optimum situation, but one which the team believes obtainable over time with the new APM role in effect, and the teamwork concepts in practice. In some AID operations the phases are already being performed as shown, but not uniformly. Where two organizations are listed together they would both participate in that phase. For example, AID/W and the field are both shown as the locations for program analysis, and project identification and design, since they interact during these phases of the cycle. A stroke between organizations indicates that either or both may participate; a dotted line around a box means the organization may or may not participate. Chart highlights are:

1. The AID Program Officer and the host country representative are shown working together at the project identification phase. The PPP would be prepared on the basis of the convergence of AID/W and host country priorities.
2. The AID project Manager (APM) and the counterpart project manager (CPM) are shown involved early in the development stage, during project design, as this will materially aid the implementation process. They should see themselves starting to function as a team at this point. During the development stage, the APM would be assigned to the Program Office, as the latter is responsible for design.
3. The APM and CPM actively participate, as a team, in all subsequent phases, except in those discussions which are appropriately privy to the host country or AID. These exceptions should be minimized. Accordingly, they are shown participating in the PROP approval and contracting processes in Washington. This will become feasible as the policy of major projects addressing core problems is implemented, and is highly desirable in order to:
1) provide good communication between AID/W, AID field, and the host country; 2) expedite PROP approvals; 3) increase the visibility and stature of the APM and CPM, especially with the contractor; 4) heighten the APM-CPM sense of ownership of the project and their team commitment; 5) facilitate transfer of knowledge and skill to the CPM.

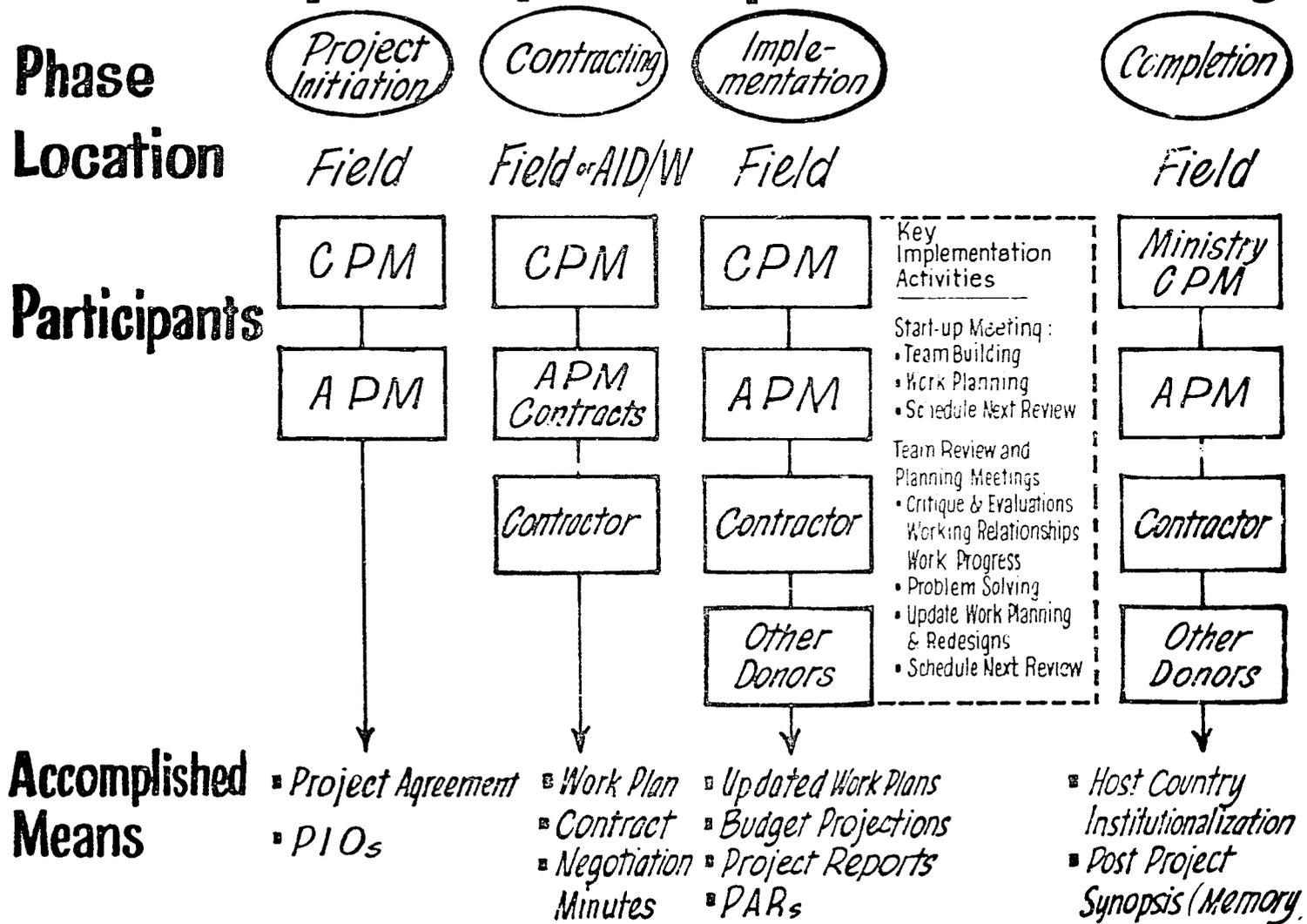
T/A Project Cycle - Development Stage



Technical Assistance Project Cycle (cont'd.)

4. The APM and the CPM should make a formal presentation as part of the PROP approval process in Washington. This will make the approval process more systematic and will serve the other purposes mentioned under 3, above.
5. Negotiation minutes should be taken during contract negotiation meetings. These are not legally required notes, but the informal understandings and interpretations arrived at in the process, which may be very useful during implementation.
6. Once a contractor (or PASA) is selected, the Chief of Party should become a member of the project management team, and the three parties then participate jointly in all subsequent phases of the project.
7. This new team should begin with a "start-up" meeting, aimed at teambuilding and work planning. The agenda for such a meeting would include getting acquainted with each others' personal backgrounds and interests, reviewing reasons for success and failure in similar projects (an APM input), anticipating and planning for contingencies on this project, clarifying respective roles and what each wants (and doesn't want) from the others, making the first detailed work plan, and scheduling the next meeting for the group.
8. The next and subsequent meetings should be called "team reviews". These meetings are for the purpose of reviewing events since the last meeting, deciding on what changes in mode of functioning they want from each other (giving and receiving feedback and assistance), identifying and deciding what to do about problems, making the next detailed work plan, preparing required reports such as budget projections and PARs, and scheduling the next meeting. Team reviews should not be regularly scheduled, but rather set up as needed around critical project events.
9. As the project unfolds, roles of the project team members will change. The changes are an item to be negotiated at team review meetings. In particular, steady progress should be made in transferring the APM's management skills to the CPM, and his AID experience to the contractor. As he finds he can rely on them, the APM's role will gradually diminish.
10. At the completion of the project, a brief project description should be prepared for central retention and use for future projects.

T/A Project Cycle - Implementation Stage



I. Other Recommendations

On completion of the model designs and the position descriptions and work flow, the API team had a number of additional recommendations that had not been covered. These are listed in Chart 16.

OTHER RECOMMENDATIONS

- A. AID Project Manager should be established as an alternate title in the 02 and 09 job classification series.
- B. Project Team members should be designated by name in a document circulated to all offices involved.
- C. At such time as the PER is revised, more emphasis should be put on such APM requirements as team building, meeting of project objectives, and success in transferring management skills.
- D. Seminars should be organized for training of APMs, which would double as APM conferences and team building sessions. CPMs should be included as soon as feasible.
- E. ADOs and AID/W should take more interest in accomplishments and problems during implementation. There should be more emphasis on supporting the APM's needs than on second guessing his decisions and recommendations.
- F. Financial reporting and projections for all project parties should be as integrated and in as few documents as possible. The same should be true of progress reporting.
- G. Critical Event Schedules should be the focal point of project work plans, and a primary tool of the APM. When this tool is in more general use, the PIO format should be revised to reflect this approach.
- H. AID should hold firm on its contractor self-sufficiency policy. Any legitimate special situations should be reflected by money allowances in the contract, so that AID can maintain a consistent policy.
- I. A greater flavor of problem identification and problem solving is needed in status reporting -- project, sector and area reviews, and PARs.
- J. The recent emphasis on social and cultural considerations in project identification and design should be regularly reinforced.
- K. The Africa Bureau should run pilot team building meetings in interested groups, both within and between organization units. They bring to the surface and deal with problems inhibiting team effectiveness, promote more open discussion and increased collaboration, and schedule action on problems identified. Key recurrent meetings, such as Mission Director conferences, should incorporate more methods for developing teamwork.

J. Implementation of Improved Project Activity

Chart 17 shows one method of implementing the recommendations of this report. The most important step is the first one, that of setting up the Steering Committee, as it determines its own strategy from that point forward.

SUGGESTIONS FOR IMPLEMENTATION OF IMPROVED PROJECT MANAGEMENT

- A. Select a Steering Committee of actively interested individuals to design the implementation strategy.
- B. Select a pilot organization, -- look for volunteer ADO or Mission.
- C. Design and conduct an implementation work shop, tailored to AID local conditions. The work shop could take the form of team building meetings.
- D. Repeat work shops semi-annually. These insure practical understanding of agreed-upon changes, and assist in skill development.
- E. Incorporate other organizational entities into an expanded workshop.
- F. Make adequate provision for time and money. Nearly all attempts at major organizational changes underestimate the problem. Consulting assistance in change methodology would be useful.
- G. Changes should not be cast in concrete until personnel affected have been involved and have made their inputs. Involvement should be broad -- across the Africa Bureau and beyond, and deep -- down to lower levels which are critical to implementation.

A.P.I. TEAM BACKGROUNDS

The following is a brief professional background of the members of the Action Programs International team:

Edward Rubin, whose field is general management. Mr. Rubin's background combines twenty years of management experience in United States industry with five years of technical assistance to developing countries. His business management experience includes ten years with Wyle Laboratories (Vice-President, Administration; President, Liberty Electronics subsidiary; Corporate Vice-President, Mergers and Acquisitions). His technical assistance experience includes two years with the Ford Foundation (Staff Development Advisor, Republic of Tanzania) and two years with Litton Industries (Deputy Managing Director, Litton-Greece). He founded API in 1969.

J.K. Fordyce, whose field is organization development. Mr. Fordyce was instrumental in the formulation and administration of the highly successful Organization Development program at the Thompson-Ramo-Wooldridge Systems Group. He is co-author of a practical handbook in the field, Managing With People, Addison-Wesley Publishing Company, 1971. His background also includes fifteen years in government administration -- local, state and federal.

H.W. McFarland, whose field is program management. As Vice-President and General Manager of the Marquardt Corporation, where he was employed for eighteen years, he directed an engineering organization carrying out major technological programs. More recently he has been a consultant to the Rand Corporation, planning and implementing Rand's entry into the transportation field.

RESOURCE MATERIALS

1. Foreign Assistance for the Seventies (President Nixon's Message) 9/15/70
2. Africa Bureau T/A Approach (D. Shear, AFR/DP) 5/4/70
3. Draft Plan for Project Mgmt in Africa (DP Revision of Lavergne paper) December, 1970
4. Transition Planning for Technical Assistance (M. J. Williams) 2/16/71 and Related Reorganization Memoranda
5. Project Management in AID (K. S. Levick - draft) 8/12/70
6. Bureau for Africa M.O. 206.3 7/22/70
7. Draft Project Management Training Plan (J. S. Holtaway) 11/10/70
8. Project Management Handbook M.O. 1305.1.1. 6/11/70
9. Evaluation Handbook M.C. 1026.1 November, 1970
10. Report on Project Management Problems (Herder) November, 1969
11. U.S. Foreign Aid in Africa - Proposed F. Y. '71 Program
12. Some Practical Concepts to Assist Project Evaluation (Practical Concepts, Inc.) January, 1971
13. Institutional Grants Program and Associated Papers
14. Project Cycle Forms and Procedures (T/A and Capital Assistance) 20 Items
15. Technical Assistance Activities M.O. s 1301.1, 1301.1.1, 1303.1, 1302.1, 1333.1, 1351.1, 1371.1, 1383.1.
16. Project Management Plan of Action (J. S. Holtaway) 9/11/70
17. U.S. Foreign Assistance in the 1970's (Peterson Report) 3/4/70
18. Partners in Development (Pearson Report) 9/15/69
19. President Nixon's Message to Congress 4/21/71
20. Problems of Technical Assistance (K. S. Levick - draft)
21. Development of Administration Strategy and Action Program for the Africa Bureau (C. P. Edwards - draft) 3/26/71
22. The Institutional Development Agreement
23. Guide Manual for the Institutional Development Agreement
24. Technical Assistance Project Implementation (Sequence of Events) and Associated Charts (W. Lefes)
25. Capital Assistance Paper - Entente Livestock Project
26. International Development and Humanitarian Assistance Act of 1971 (Draft Legislation)
27. Task Force Paper and Comments - IDC
28. Task Force Paper and Comments - IDI
29. Project Management (Mission Paper - Liberia) 2/17/71
30. Management of Bilateral T/A (Mission Paper - Ghana) 1/1/71
31. Project Evaluation - Project Appraisal Reporting System (Fry Associates)
32. List of Active Projects - Africa Bureau 5/4/70
33. Financial Status & Implementation/Progress of Dollar Loans 1/31/71
34. Planning for the Transition and Supporting Papers (S. C. Adams, Jr) 5/28/71
35. AFR Bureau Staff and Missions (S. C. Adams, Jr.) 2/26/71
36. Field Mission Organization (E. B. Hogan - draft) 8/25/70

37. EAORA Functional Statement - and Replies (J. H. Canning) 3/23/71
38. Administrative Support Memos (4)
39. Capital Project Implementation (D. A. Gardner - WARCO) 8/13/70
40. Implementation Process for AID's Technical Assistance Program (A/DSM) 7/18/69
41. USAID, Liberia, Organization Chart and Staffing Report, May, 1971
42. Executive Office Organization & Responsibilities (USAID - Liberia) 1/28/71
43. Examples of Project Design Summaries - Logical Framework (10)
44. PROP - Monrovia Consolidated School System (Liberia)
45. PROP - JFK National Medical Center (Liberia)
46. PROP - Government Organization, Training and Management (Liberia)
47. PROP - Telecommunications Authority Management (Liberia)
48. Liberia's Public Administration Sector (Liberia USAID Paper) Nov. , 1970
49. PROP, PROAC, Audit Report and Related Papers (Njala University College, Sierra Leone)
50. Gen. Mgmt. Inst. - ADO Functional Responsibilities (S.C. Adams Jr) 2/26/71
51. President's Message to 92nd Congress, February 25, 1971
52. Capital Assistance Paper (Congo - Kinshasa Road Transport Sector Loan) 3/18/71
53. Public Administration for Development in Liberia (Eric James) April, 1971
54. Field Review of USAID - Supported Public Health Program in Cameroons, Chad and CAR (Stephen Joseph, M. D.) July, 1970
55. Reports Added to AID Reporting System since February, 1956
56. Examples of PIP's (7)
57. Examples of PAR's (6)
58. Personnel Forms (PER's; SPAR's)
59. PROP - University Center for Health Services (Yaounde)
60. PROP Worksheets

LIST OF CONTACTS

AID/Washington April 26 - 30
(in the order interviewed)

David Shear
Roy Stacy
James Holtaway
Albert Disdier
Edward Fei
Abe Ashenase
Edward Hogan
Valery Burati
Stanley Peak
George Hoffman
James Wilson
Paul Saenz
Dr. Samuel Adams
Frederick Hahne
Edward Donoghue

William Wild (visiting from field)
Richard Mendoza
Donald Parker
Al Lubin
Steve Kline
Walter Boehm
William Lefes
Samuel Litzenberger
Marjorie Belcher
Murray Mould
Dr. Charles Edwards
David McAdams (enroute to field)
Kenneth Levick
Stephen Christmas (on June 5)
Athol Ellis (on June 5)

Field Trip May 11 - 28

At Dakar, Senegal

AID Personnel:

Fermino Spencer (visiting field)
John Lungren
Dixie Lippincott
Robert Thomas
William Pearson
M. Lipessier

Others Interviewed:

U. S. Ambassador G. Edward Clark
(Senegal)
John Loughran, Charge d' Affaires
(Senegal)
John Yates, DCM
(Mali)

At Monrovia, Liberia

AID Personnel:

William C. Wild
David Levintow
James Kelly
Frank Campbell
Alton Adams
Howard Guiot
Roderick MacDonald
Milford Reed

Others Interviewed:

Louis Gordon, Acting Chief of Party,
JFK PASA Team
Dale Draper, Chief of Party,
San Francisco State Team
Rudolf Johnson, Director, Development
Resources Division, GOL

LIST OF CONTACTS (cont'd.)

At Abidjan, Ivory Coast

AID Personnel:

Donald Gardner
Norman Schoonover
John Mac Donald
James Watson
John Roxborough
Thomas Leahy

Others Interviewed:

John E. Cunningham, DCM (Ivory Coast)
Norman Thorn, Vice President, MIDA

At Yaounde, Cameroon

AID Personnel:

Charles Grader
Jack Mc Laughlin
Larry Beery
Stephen Joseph, M.D.

Others Interviewed:

U. S. Ambassador Lewis Hoffacker
(Cameroon)
Lanham Walker, DCM (Cameroon)
Emily Perrault, Econ. Officer (Cameroon)
Richard L. Storch, IBRD (visiting)
Mr. Genies, F. A. C.
Bertin Borna, Resident Rep., UNDP
Michael Challons, Deputy Rep., UNDP
M. Amadou Bello, Director of Program-
ming, GOC, and three of his subordi-
nates in the Ministry of Planning and
Territorial Development
The Agricultural Economics Faculty
Project Team (Dr. Jackson, Mr. Fergu-
son and Mr. Whittaker, Southern Univer-
sity; Dean Lissier, Mr. Ngueken, Agri-
cultural School Faculty)
Mr. Poerschmann, Director, Fonds
Europeen Developpment

At Pasadena, California

AID Personnel:

Sara Jane Littlefield, ADO, Niamey
(on leave)

PARTICIPANTS IN MODEL REVIEW MEETINGS

Tuesday, July 6 (AM)

C. William Kontos, Director, Program Evaluation
 Fred C. Fischer, AAA/A
 William S. Lefes, PPC/RS
 J. S. Holtaway, AFR/MGT
 Roy Stacy, AFR/DP
 A. White, NESA/DP
 F. W. Hedme, AFR/MGT
 Tom Moore, PM/FSP
 G. Barbour, A/PM
 Roger Leonard, C/BUD
 Bernard H. Masters, A/PM

Tuesday, July 6 (PM)

Chick Ellis, Director, AFR/SA
 Jim Brooks, Acting Director, AFR/NA
 Denny Conroy, Deputy Director, AFR/ESA
 Jerry Knoll, Director, AFR/ESA
 Phil Birnbaum, DAA
 Fred Hahn, Director, AFR/MGT
 Abe Arbeanase, Deputy Director, AFR/MGT
 Carol Graigle, Special Assistant to Dr. Adams
 Ed Donoghue, Chief, Planning Division, AFR/DP
 Ed Hogan, Director, AFR/DP
 Art Howard, Deputy Director, AFR/TAC

Wednesday, July 7 (AM)

Bruce Patchen, AFR/DP/CED
 Sher J. Rana, AFR/DP/PL
 Lawrence A. Marinelli, AFR/SAF
 John H. Canning, AFR/EAF
 Samuel C. Litzenberger, TA/AGF
 Raymond Martin, AFR/DP
 Sherry Rogers, AFR/DP
 Don Parker, AFR/DP
 Walter Boehm, AFR/NA
 Kevin Burns, AFR/DP
 Allison Herrick, AFR/DP
 Charlotte Cook, AFR/DP
 Bruce Odell, AFR/CDF

Wednesday, July 7 (PM)

J. P. Emerson, USAID/Monrovia
 John L. Cooper, AFR/TAC
 R. E. Bozeman, AFR/MGT/C
 R. Misheloff, AFR/CWA
 R. A. Mendosa, AFR/CWA
 W. W. Leake, AFR/NA
 Val Burati, AFR/CWR
 L. S. Peek, AFR/CWR
 K. Smith, TA/DA
 R. Smail, AFR/TAC
 C. P. Edwards, AFR/TAC
 Frank Scordato, AFR/SAF
 Lynn E. Catoe, AFR/NA
 John Banyas, AFR/MGT
 A. G. MacArthur, AFR/NA
 Eino Siira, AFR/SAF
 W. C. Busch, AFR/MGT
 N. J. Pappas, AFR/MGT
 J. Coe, PPC/RS
 Jim Wilson, AFR/CWR