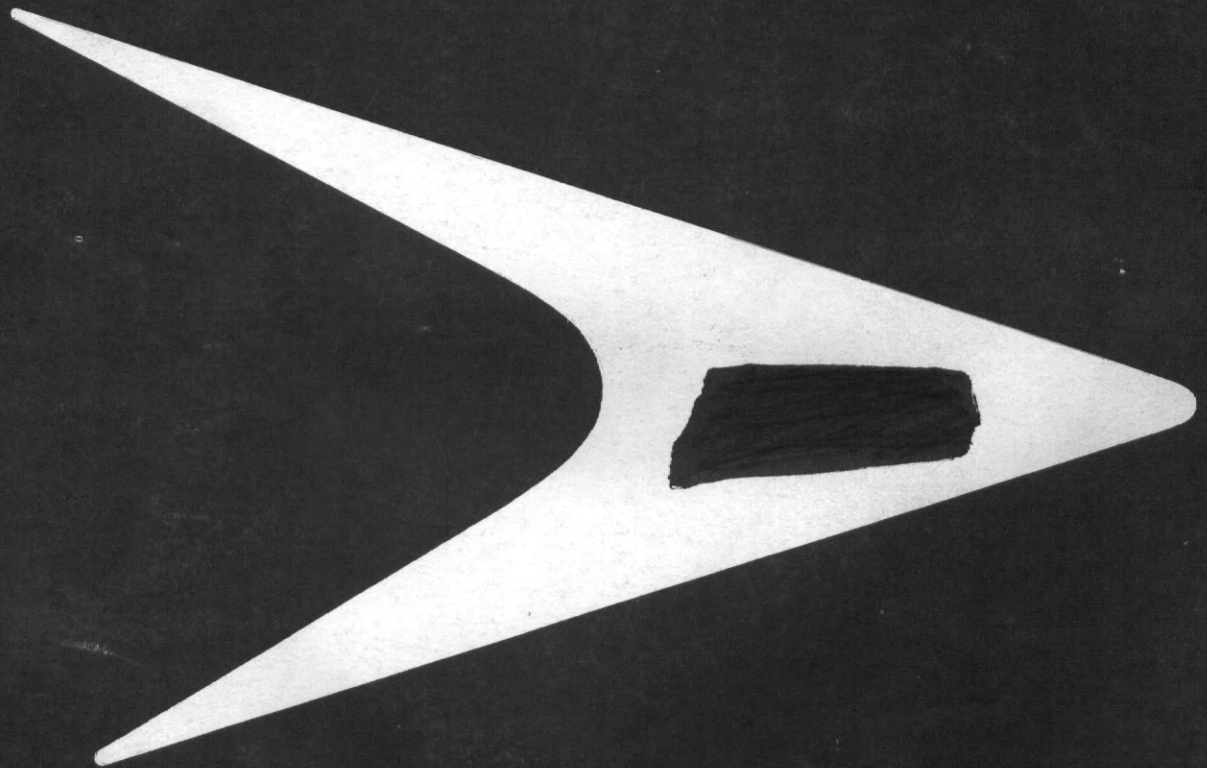


ORGANIZATION  
AND  
FUNCTIONS  
MANUAL



USAID / VIETNAM

M.O. V206.1

APRIL, 1966



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OF THE  
UNITED STATES OF AMERICA

U.S. AID MISSION TO VIETNAM  
[REDACTED]

OF THE DIRECTOR

## INTRODUCTION

This Organization and Functions Manual sets forth in detail the duties, responsibilities, and prerogatives of the units within USAID/Vietnam. It describes the major authorities and jurisdictional limits of each office and specifies the role of every office in the various phases of program formulation and implementation. The manual has immediate effect and supersedes all prior directives with which it is in conflict.

Because the manual embodies "vertical" slices of the USAID's principal procedures, it is expected -- in addition to being a reference source for intra-USAID relationships -- to serve as a useful tool for orientation of new personnel and as a series of procedural checklists for on-board personnel.

Smooth effective USAID operations require prompt action properly coordinated. This manual also sets forth the minimum requirements of proper coordination.

Charles A. Mann

Director

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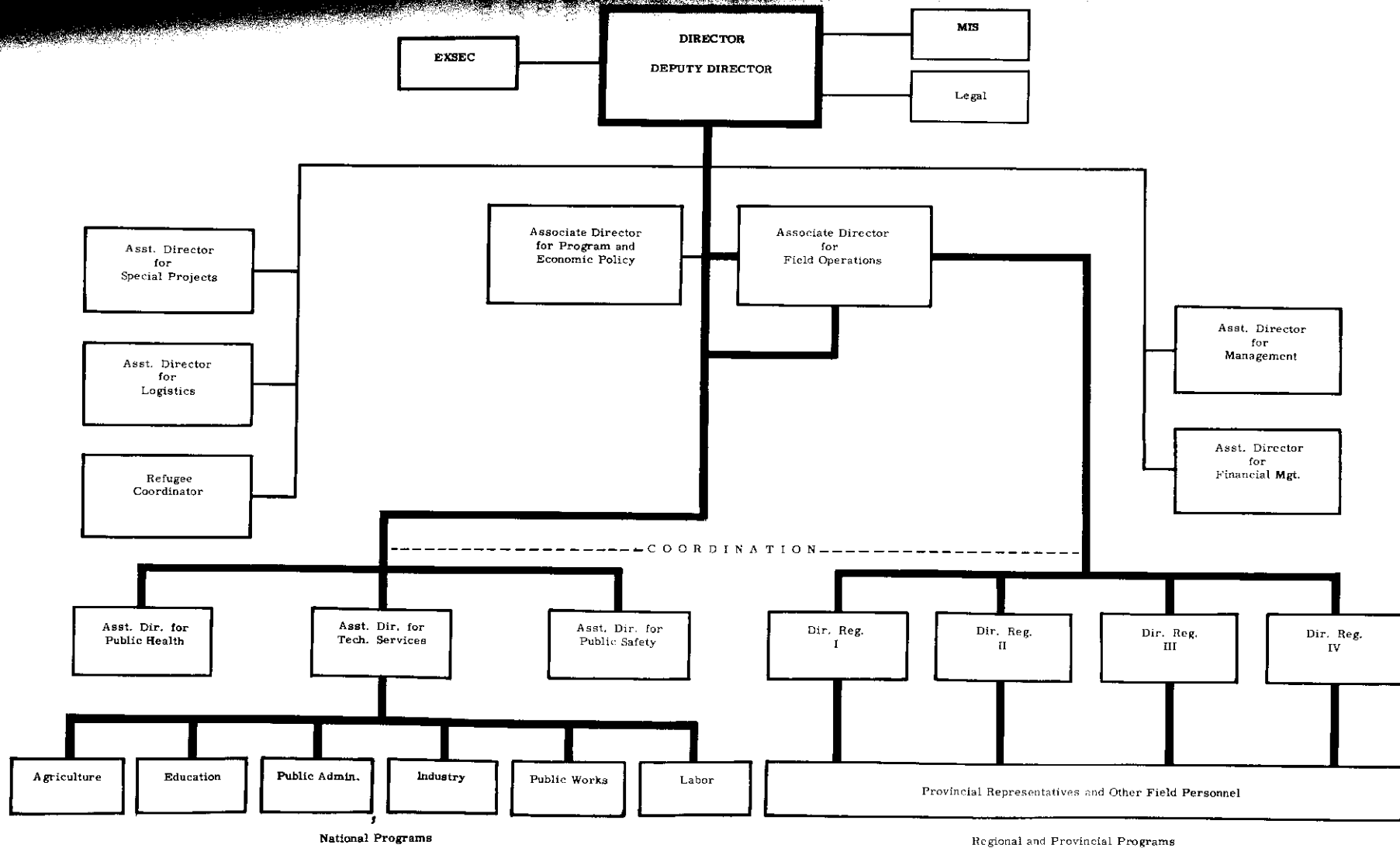
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## SUMMARY

USAID/Vietnam administers both "field" and "national" assistance programs. The former are the primary responsibility of the Associate Director for Field Operations and the four Regional Directors, to whom Provincial Representatives and other field personnel report. The latter --- "national" programs --- are the primary responsibility of the Technical Offices.

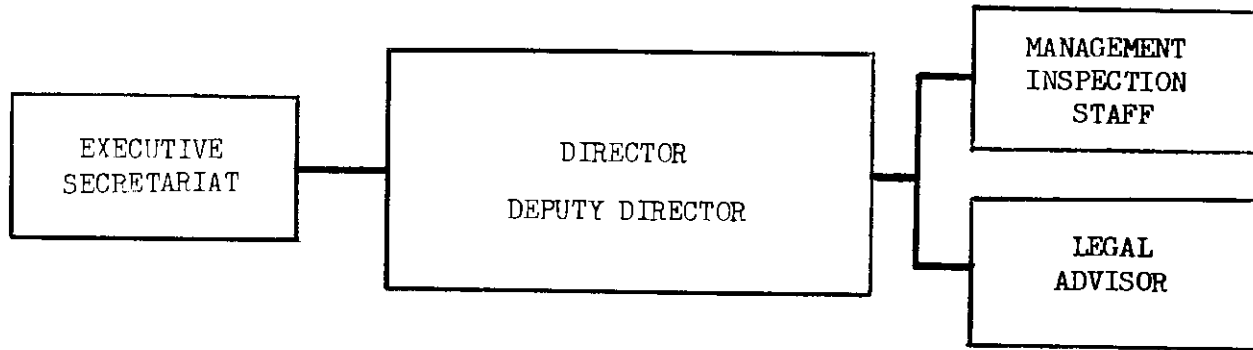
On programs for which Regional Directors are responsible, the Technical Offices serve in a staff capacity. On programs for which the Technical Offices are responsible, the Regional Offices serve, whenever necessary, in a coordinating and liaison capacity.

The Office of Program and Economic Policy is headed by an Associate Director. It exercises the normal functions of a program office and administers the commodity import and Food for Peace programs. AD/PE also advises the Director in the designation of programs as "field" or "national".

The other USAID/Vietnam offices perform all the functions implied by their titles.

Annex A of this manual contains a summary of USAID/Vietnam authorities for the clearance and authorization of documents. For the use of employees new to AID, the annex also contains a glossary of program documents, with cross-references to appropriate AID and Mission manual orders.

OFFICE OF THE DIRECTOR



## THE DIRECTOR

The Director of the United States A. I. D. Mission to Vietnam is responsible for all aspects of the AID program in Vietnam, within overall Agency policy, and subject to the general policy guidance of the Ambassador, his primary responsibilities are as follows:

1. Establish basic policies and guidelines for developing, executing and evaluating the AID program in Vietnam.
2. Act as the principal U. S. advisor to the Government of Vietnam on the foreign assistance program and negotiate major assistance agreements with the GVN.
3. Plan overall Mission programs for submission to AID/W, determine program priorities, and allocate resources.
4. Manage the overall assistance program and be responsible for determination of Mission organization, functional assignments, work priorities, and allocation of administrative resources.
5. Coordinate USAID programs with the U. S. Embassy, JUSPAO, U. S. military organizations, other assistance programs, and appropriate GVN agencies.
6. Evaluate program progress.

The Deputy Director serves as the alter ego of the Director and assists him in exercising the foregoing functions.

## Executive Secretariat

### General

A. The prime function of the Executive Secretariat is to assure full, effective, orderly, coordinated, and prompt communication between all elements of the USAID and the Director. Located in the Office of the Director, EXSEC services the Director and the Deputy. In matters involving the Director or Deputy, EXSEC also services the Associate Directors.

B. In servicing the Director, EXSEC (1) screens out routine or redundant information and (2) returns any materials which have been inadequately staffed or coordinated at lower levels. EXSEC notes significant points and funnels into the Director all information of importance or interest to him. It communicates to all elements of the USAID information (particularly concerning executive actions or decisions taken or to be taken) of significance to them.

C. In addition to serving as a recording, flow, and control center for executive information, EXSEC follows up on assignments made by the Director (and Deputy Director) and alerts the Director to situations or communications requiring his priority attention. EXSEC also assures that each office is clearly aware of the executive assignments for which it is responsible. On routine matters, EXSEC itself assigns action responsibility in the Director's behalf.

### Specific

Specifically, the Executive Secretariat has the following responsibilities:

#### A. Executive Staff Assistance

1. Follows up to insure timely completion of executive assignments.
2. Reviews all material prepared for the Director's or Deputy Director's signature to ensure completeness of staff work, adequacy of clearance, clarity of content, and consistency with prevailing policy. Immediately returns to the originator material requiring further consideration.

3. Briefs, and arranges for briefings of, the Director Deputy prior to visits, ceremonies, conferences or trips to field or Washington.

4. Coordinates in the Director's behalf, arrangements relating to top-level conferences with GVN and U.S. Government officials.

5. As appropriate, prepares and coordinates the preparation of agendas in advance of meetings involving the Director Deputy.

6. As requested, performs special research, analytical studies, and other projects for the Director and Deputy Director.

7. For the Director and other senior officials, summarizes and circulates the weekly activity reports.

8. Supervises the Secretariat staff.

#### B. Internal Information

1. Communicates executive concerns and executive views of problems under analysis, in addition to other information of general interest and concern, to Associate Directors, Regional Directors, and office, division, and branch chiefs of the USAID through digests, minutes of key meetings, and summaries of decisions, reports, and analyses.

2. Publishes a periodical Newsletter (unclassified) with distribution to all employees (U.S. and non-U.S.) and dependents.

3. Upon request, attends meetings of the Director and Deputy Director; takes minutes, if required; records decisions in the files and follow-up.

4. Provides welcoming, arranging, scheduling and briefing services for important U.S. and foreign visitors interested in USAID/Vietnam operations. Provides liaison with JUSPAO concerning such activities.

5. Except as done personally by the Director, debriefs officers upon their return from important conferences or

International trips. Informs USAID staff of matters of significance arising from such meetings or trips.

### C. Communications Control and Executive Information

1. With regard to mail addressed to the Director, Deputy or Associate Directors from outside AID, receives, logs, changes for translation, ascertains priority, controls, assigns and follows up to assure timely and coordinated response.
2. Logs, appropriately distributes copies of, and controls all written communications from the Director and Deputy addressed to the Director or Deputy from within AID.
3. For the Director, Deputy, and Associate Directors, compiles a Daily Executive Log consisting of briefs of important mail, cables, airgrams, reports and other material and contains a copy of all significant documents signed or approved the previous day by each of the four senior officers. Receives from each Assistant Director (or Division or Office Chief where there is no Assistant Director) a copy of every document originating from the area which the Assistant Director (or Chief) considers of potential interest or significance to the Director; includes such documents, or summaries of them, in the Log at his discretion.
4. Maintains an up-to-date listing of all GVN-US and inter-agency formal committees of which key USAID staff are members.
5. Controls all Top Secret communications within the region USAID.
6. Controls Eyes Only communications.

### Legal Advisor

The Legal Advisor reports to the Director. He is the principal source of counsel to the Director and other USAID elements on U.S. and Vietnamese laws and their effects on AID operations in Vietnam.

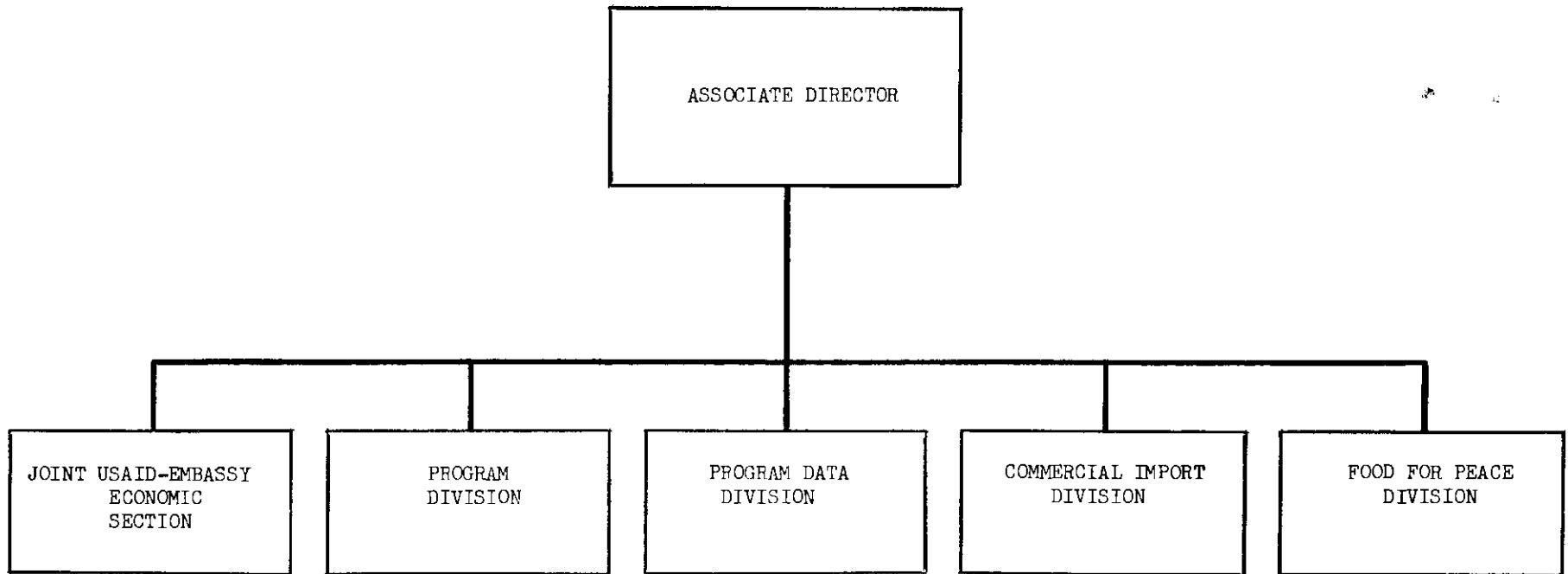
#### Legal Responsibilities

1. Advises the Director and other elements of the USAID on statutory, regulatory, contractual, and other legal matters that arise under U.S. or Vietnamese law, inter-governmental agreements, and international law.
2. At the request of other USAID elements, reviews and advises on legal form and effect, agreements to which the USAID is a party or which are financed by AID.
3. Advises the Director and other elements of the USAID on the legal implications of contemplated or existing bilateral agreements, memoranda of understanding, and other obligating and potentially binding documents to which the USAID is a party.
4. Handles tort claims arising from accidents involving USAID personnel or property and the local aspects of other claims, disputes, or potential claims to which the U.S. is or may be a party arising from transactions under the U.S. economic assistance program to Vietnam.

### Management Inspection Staff

The Management Inspection Staff is responsible for investigations pertaining to (1) the conduct and integrity of AID direct-hire and other AID-financed personnel in Vietnam and (2) potential fraud and other infractions of AID commercial regulations by AID-financed suppliers or importers of commodities or services. At the Director's request, the Management Inspection Staff performs other special investigations.

OFFICE OF PROGRAM AND ECONOMIC POLICY



## Office of Program and Economic Policy

### I. General

A. The Office of Program and Economic Policy advises and assists the Director and other elements of the USAID in policy and program formulation, documentation, analysis, and evaluation. It also advises and assists the GVN in economic and fiscal planning and in administration of the commodity import program. It is responsible, within the USAID, for liaison with the GVN Director General of Budget and Foreign Aid. The office contains the Program, Commercial Import, Program Data and Food for Peace Divisions in addition to the Joint USAID-Embassy Economic Section (which has division status within the USAID).

Through the Joint USAID-Embassy Economic Section, the Office of Program and Economic Policy is responsible for the formulation of U. S. economic policy in Vietnam. The office is headed by an Associate Director.

### II. Specific

The Office of Program and Economic Policy performs the following specific functions:

#### A. Economic Planning

1. Elicits and develops information regarding economic, fiscal, financial, credit, and balance of payments conditions in Vietnam. Analyzes such information and prepares economic forecasts.
2. Advises the GVN in its economic and fiscal policies and planning.
3. Prepares the program assistance ("non-project") portion of the Country Assistance Program (CAP).
4. Advises the Director and other U. S. agencies of the effect of U. S. policies on the Vietnamese economy and of Vietnamese economic and related policies on U. S. assistance programs.

## B. Program Formulation

1. After soliciting the views of AD/FO, the Refugee Coordinator, the Technical Offices, and other elements of the USAID, recommends to the Director, annual USAID Program Guidelines setting forth U.S. goals and objectives, the role of AID and its proposed strategy and tactics in achieving them, relative priorities, and the anticipated broad composition and magnitude of the coming year's program.
2. Concurrently with the development of the Guidelines, drafts, for the Director's recommendation to the Ambassador, Part I of the Country Assistance Program (CAP).
3. Calls for and receives program and project submissions (draft E-1s) from the various USAID offices. Obtains the views on them of other affected U.S. agencies in Vietnam and other USAID units. Arbitrates unresolved issues, including those arising from divergencies between Regional Office and Technical Office proposals, priorities, and proposed allocations of responsibility and staff.
4. Reviews all submissions to assure their consistency with one another, their conformance to the program guidelines, their feasibility, and the adequacy of their planning and documented justifications.
5. Recommends the proposed program to the Director.
6. With the originating office, refines and edits the E-1s as necessary; assembles them into the annual Country Assistance Program (CAP), Part II.

## C. Program Execution

1. Advises USAID offices in their negotiations of PROAGs with GVN Ministries. As necessary, assists in the preparation of such agreements and other obligating documents. Reviews obligating documents to assure their conformity to U.S. and AID policy, their accuracy and completeness. After obtaining clearance by the Controller to ensure availability of funds, issues such documents.
2. Clears subobligating documents to assure their conformity to obligating documents and project and program objectives.

3. Reviews PIO/Cs, PA/PRs, Purchase Orders, and Local Purchasing Requisitions (except those pertaining to administrative procurement) for advisability of timing and consistency with project objectives. Clears such documents, as necessary, with the Director General for Budget and Foreign Aid.

4. Based on projections of the level of U. S.-owned local currency available for USAID needs and the demands of each project for such currency, recommends to the Director priorities for its allocation.

5. Periodically conducts program reviews to adjust project funding levels to conform to the Operating Year Budget allotments, and shifts in priorities, needs, and conditions.

6. Advises and assists other USAID offices in the development and implementation of participant training programs; has final approval on the selection of candidates; makes all necessary arrangements for interviews, briefings, pre-departure training, travel, and related administrative details.

#### D. Program Documentation

Develops USAID policies and procedures governing the negotiation, issuance, and use of PROAGs, PIOs, PA/PRs and other instruments of program or project documentation.

#### E. Commodity Import Program

1. Studies Vietnamese commodity market conditions, absorptive and productive capacity, logistic capacities and other relevant factors to determine the composition of commodity import requirements consistent with U. S. and GVN objectives and the optimum timing of commodity arrivals. Advises the Director, other elements of the USAID, and GVN with regard to its conclusions.

2. Assists GVN in establishing systems for approving or denying Vietnamese import license applications and in maintaining records of license requests, approvals, and disapprovals, stock levels in Vietnam, and of the volume and nature of the commodity pipeline.

3. Assists GVN in establishing systems for anticipating and recording commodity arrivals and for determining and enforcing adherence to license conditions.

4. Based on information as to the composition of the total flow of commodities, advises GVN of actions necessary to minimize shortages of essential items and excesses of other items.

5. Within approved levels of program assistance and delegated authorities, prepares and issues procurement authorizations and amendments.

6. Signs procurement authorization applications for commercial import program commodities to be procured by a U. S. Government Agency (PA/PRs).

7. Advises and assists AID-financed importers in the preparation of notifications to the Office of Small Business; reviews notices for accuracy, compliance to OSB requirements and Regulation 1; submits notices to OSB in final form.

8. Reviews requests from importers for all waivers of requirements (source, notification, etc.); prepares waivers for Director's signature or AID/W when justified.

9. Advises GVN and Vietnamese importers and foreign suppliers of AID commodity financing requirements and procedures and of Commodity Credit Corporation barter procedures.

10. When requested, assists GVN in the preparation of invitations to bid and obtains a review of the specifications by the appropriate USAID Technical Office; when requested, reviews the invitations for bids of importers prior to their release; attends all major bid openings; ensures compliance with proper acceptance and award procedures.

11. Schedules the arrival of barter commodities supplied by the Commodity Credit Corporation; issues call-forwards to the barter contractors or their agents in Vietnam.

12. Reviews import license applications proposed for AID financing before submission to the National Bank of Vietnam;

assures feasibility of proposed procurement, eligibility of source and of commodities, acceptability to AID of licensees; prepares daily and monthly reports for USAID use on the rate of licensing and backlog.

13. Provides information, as requested, to auditors and customs advisors seeking to determine or enforce compliance with U. S. requirements pertaining to the commodity import program.

#### F. Food for Peace Program

1. In coordination with other elements of the USAID, develops projections of PL-480 Title I commodity needs.

2. Reviews proposals and supporting figures submitted by GVN in applying for PL-480 Title I assistance; recommends action by AID/W.

3. Coordinates with the Office of Field Operations, the Refugee Coordinator, other elements of the USAID, and the GVN to determine PL-480 commodity needs under Title II for use in food-for-work projects, resettlement, relocation; refugee relief, social welfare, and other projects. Requests transfer authorizations from AID/W, furnishing necessary justification and information as to type, quantity and intended use of PL-480 Title II commodities.

4. Reviews voluntary agency requests for PL-480 Title III commodities for accuracy, completeness, and compatibility with US-GVN program objectives; recommends action to AID/W.

5. Through the Office of Field Operations, the Refugee Coordinator, and Logistics, keeps informed of distributions of Title II and III commodities; determines whether such distribution is through the proper channels and in the allocated quantities; if not, notifies the Assistant Director for Financial Management, and, contacting the involved agency in Vietnam, seeks to take remedial action.

6. Provides advice and information on the potential applications of Public Law 480; interprets policies, procedures,

and regulations regarding PL-480 for interested GVN Ministries, USAID offices, and Voluntary Agencies.

7. Records and maintains data on world market, Commodity Credit Corporation, and local prices of food stuffs.

8. Keeps informed of the activities of international food organizations in Vietnam, and recommends possible areas of USAID cooperation or participation.

#### G. Program Data and Reporting

1. Maintains a central repository for all program and economic data.

2. Prepares, reviews, receives, or coordinates, as appropriate, and in all cases retains one central file copy of, all periodic reports prepared by or for USAID/Vietnam for submission to AID/W or any entity outside of AID.

3. Surveys USAID reporting systems and procedures to minimize reporting overlap, improve reporting formats, adjust reporting intervals, and achieve the optimum trade-off between exhaustive information flow, USAID workload capacities, and USAID and AID/W capacities to absorb or utilize reported information.

4. Responds to, expedites, or coordinates the USAID response to special reporting requirements levied by AID/W.

#### H. Evaluation

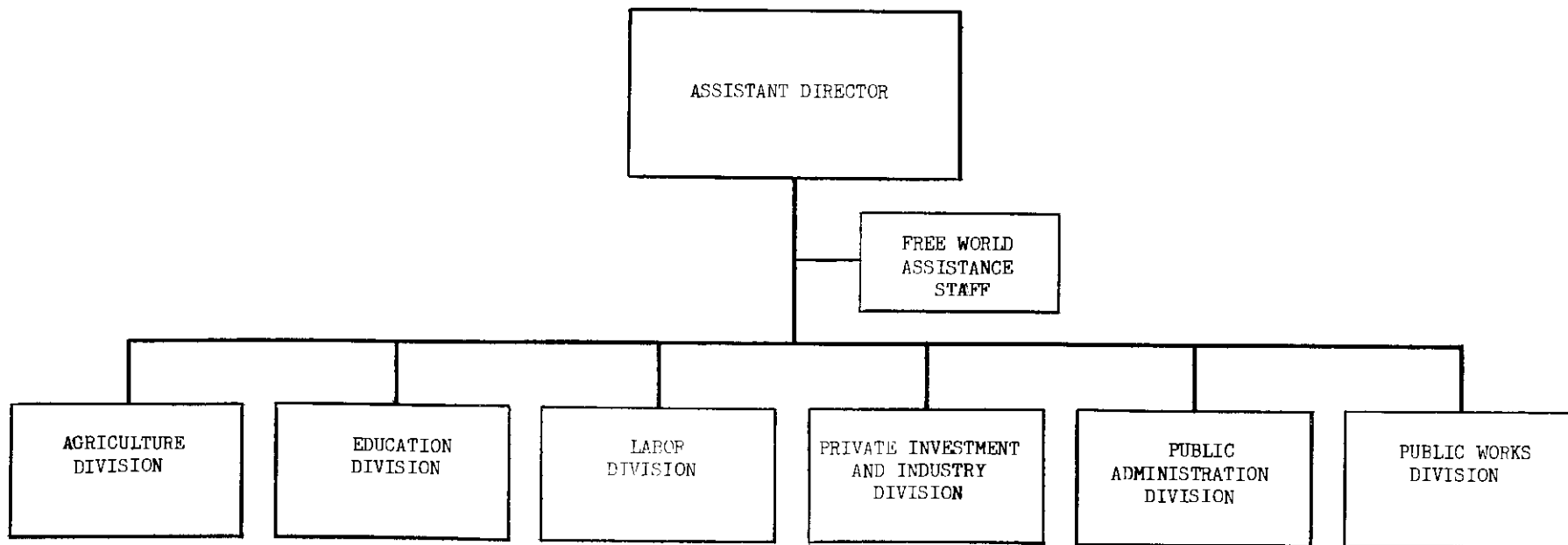
1. Both periodically and on a continuing basis, develops and elicits from other USAID elements project status information and evaluations of project progress. Based on such evaluations, makes judgments as to the effectiveness of project implementation and, as necessary, recommends shifts of priorities, responsibilities, and funds.

2. Both periodically and on a continuing basis, evaluates, and reviews other USAID elements' evaluations of, the extent to which U. S. objectives and AID program goals are being served by specific projects and programs.

3. Evaluates U.S. and AID strategy, goals, and objectives in the light of changing Vietnamese and world conditions.

4. Evaluates GVN economic, fiscal, and development policies.

OFFICE OF TECHNICAL SERVICES



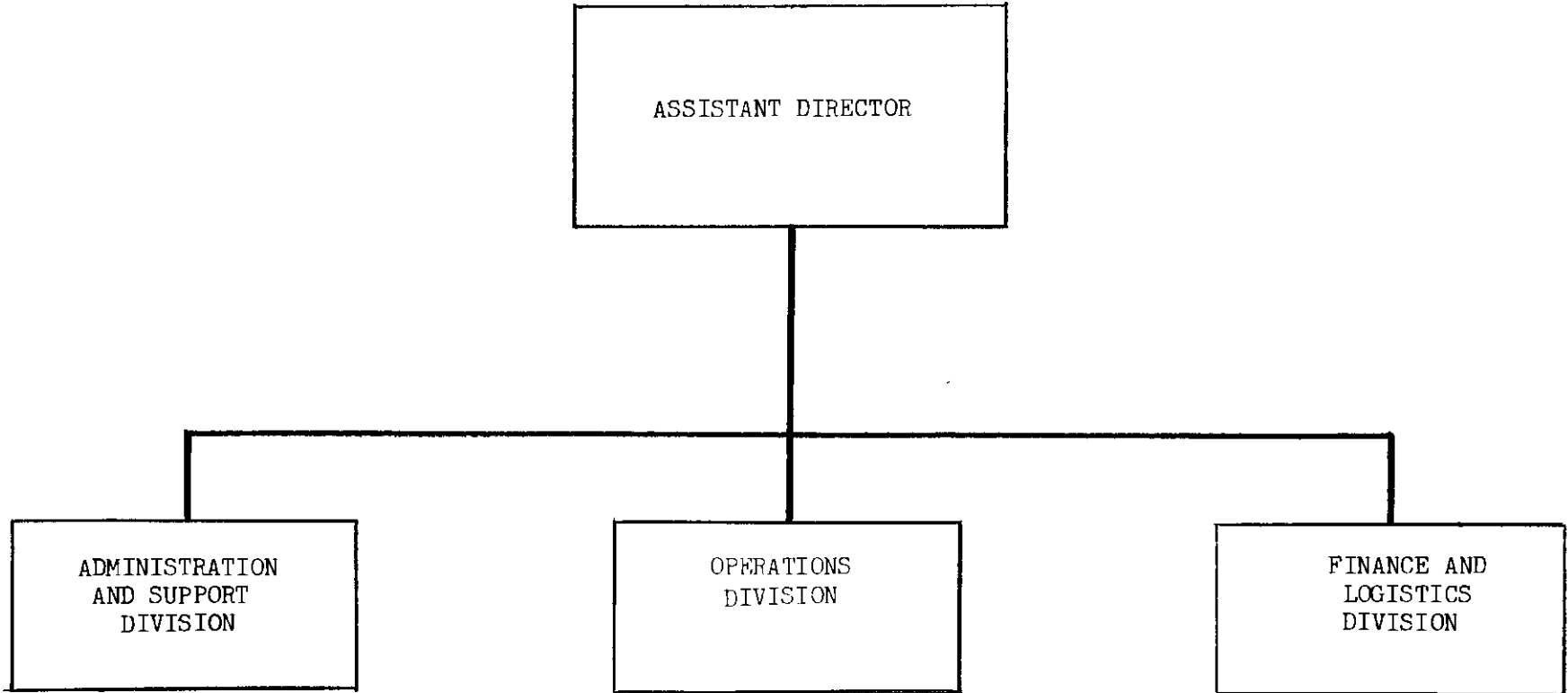
OFFICE OF PUBLIC SAFETY

ASSISTANT DIRECTOR

ADMINISTRATION  
AND SUPPORT  
DIVISION

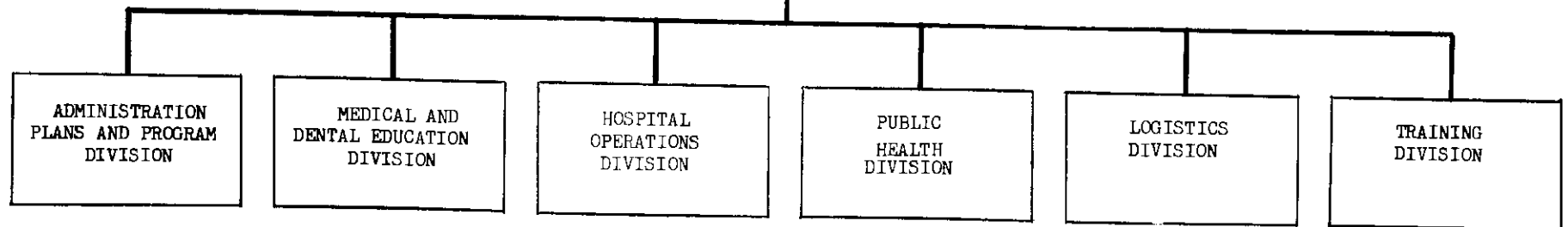
OPERATIONS  
DIVISION

FINANCE AND  
LOGISTICS  
DIVISION



OFFICE OF PUBLIC HEALTH

ASSISTANT DIRECTOR



Office of Technical ServicesTECHNICAL OFFICES: Office of Public HealthOffice of Public SafetyI. GeneralA. Relationships

Each Technical Office is headed by an Assistant Director, who reports directly to the Director, except that with regard to regional or provincial programs or regional and provincial portions of certain national programs, the Assistant Director functions in a staff capacity and reports to the Director through the Associate Director for Field Operations.

B. Staff Role

Each Technical Office provides advice and, as requested, assistance in its fields of competence to the Director, other USAID offices, U.S. agencies, and the GVN and its components in proposing, reviewing, planning, implementing, and evaluating projects and programs for economic, political, social and administrative development, including pacification, relief, and reconstruction.

C. Line Role

Within its fields of competence, each Technical Office plans, reviews, implements, directs, and evaluates those programs and projects for which it has line authority and responsibility. These programs include programs substantially limited to Saigon and portions of national programs which are not within the jurisdiction of Regional Offices.

D. Mixed Projects

The Technical Offices plan, negotiate with GVN, and support many nation-wide projects which are subsequently administered within the USAID organization, by the Regional Offices. In instances, the Office of Field Operations and the Regional Offices are consulted during the planning and start-up phase of the

project. Even after the Regional Offices have become operationally responsible for those portions of a nation-wide project falling within their respective regions, the Technical Offices will continue to be responsible for coordinating the national aspects of the total project and for normal "backstopping" of the project with the counterpart central GVN agency.

In all cases, responsible personnel are transferred to the Regional Offices when, and to the same extent that, authority and responsibility are. The phasing (either by project event or calendar date) of such transfers and the numbers of personnel involved are set forth in the project E-1s and revised, as necessary, at the IAD stage by AD/PE.

## II. Specific

Each Technical Office performs the following functions:

### A. Planning

#### 1. Program Guidance

Recommends policy guidance for inclusion by the Associate Director for Program and Economic Policy in the annual USAID Program Guidelines. This includes recommendations regarding sector strategy, program goals, quantitative program objectives, potential activities, and identification of relative priorities. Within its field of competence, comments on draft guidelines recommended by other elements of the USAID.

#### 2. Proposals

##### a. Line Role

With regard to programs and projects for which it has or expects to have line authority and responsibility, each Technical Office:

i. In response to AD/PE's call for program submissions, proposes for AID assistance specific programs and projects from among those requested by GVN.

ii. Prepares project "E-1" documentation for new USAID-approved proposals and for continuations of existing

projects. This includes the furnishing of requisite statistical data; costs, commodity, participant training, and manpower estimates; proposed action plans and schedules; and narrative justifications.

iii. During the formulation of the Operational Year Budget, advises AD/PE as to the optimum means for adjusting the proposed program to available funds.

b. Staff Role

With regard to programs or portions of programs within its fields of competence for which a Regional Office is responsible, each Technical Office either:

i. At the request of the Associate Director of Field Operations or an affected Regional Office, performs or assists in performance of the functions listed in Paragraph 2a. above; or

ii. If its assistance is not requested renders, at its discretion, advice to the Regional Offices and AD/FO with regard to those functions and, whether or not it has provided such advice, indicates its concurrence or non-concurrence in the documents forwarded to AD/PE.

B. Project Implementation

1. Line Role

With regard to programs and projects for which it has the authority and responsibility, each Technical Office performs the following functions:

a. Start-up

i. For approved projects, negotiates, or under special circumstances assists AD/PE and the Director in negotiating, Project Agreements with GVN.

ii. Designates a project manager to be the primary USAID employee who is primarily responsible for the day-to-day operations of the project's execution.

iii. After signature of the Project Agreement, in cooperation with GVN, revises and adjusts the action plan, as necessary, thereby converting it to an action schedule.

b. Execution

i. Documentation

Based on decisions as to the method of implementation -- direct-hire, contract hire, or participating agency -- drafts (initiates) the implementing documents (PIO/Ts, PIO/Cs, PIO/Ps, SPARs and, where necessary, project-related A/PRs).

ii. Service Contracts

(a) For USAID-negotiated contracts, submits to the contracting officer a draft scope of work; assists him in developing the contract budget and other non-standard portions of the contract; assists the contracting officer in contract negotiation and contractor selection. For AID/W contracts, communicates, as necessary, with the AID/W technical backstop unit and the Far East Contracts Staff with regard to the foregoing.

(b) Administers the contract from the technical viewpoint; reports on contractor performance and contract progress; in cases of changed conditions or substandard performance determines necessary action to adjust performance and if necessary recommends termination of the contract to the Director.

(c) Works with other elements of the USAID with GVN, as appropriate, to assure their timely fulfillment of obligations necessary to successful contract performance, evaluation and audit.

(d) Approves or disapproves U. S. and country national contractor employees proposed to be sent to Vietnam.

(e) As necessary, recommends changes and amendments to contract terms.

iii. Participating Agency Service Agreements

(a) Approves or disapproves proposed PASA employees.

(b) Provides general operational supervision and general program and policy direction for PASA teams; coordinates their activities with other affected or related activities.

(c) Receives PASA teams' periodic reports; evaluates project performance.

iv. Commodities

(a) With the Office of Logistics, develops specifications for required commodities and recommends schedules for their delivery; follows up to assure conformity to specifications and adherence to delivery schedules.

(b) Advises on the utilization and maintenance of project equipment.

(c) Arranges for the transfer of unutilized equipment to other projects.

v. Participant Training

(a) Determines training requirements.

(b) With the assistance of the Training Officer develops, or outlines for AID/W or third-country implementation, proposed training programs.

(c) With the concurrence of the Training Officer and in coordination with GVN, selects participants.

(d) As necessary, and with the assistance of the Training Officer, monitors the performance of participants in on-going, long-term training.

(e) With the Training Officer, evaluates training rendered and follows up to maintain contact with returned participants.

## vi. Reports

In accordance with established reporting systems and on an emergency basis as necessary, reports on all phases of project implementation.

### 2. Staff Role

With regard to programs or portions of programs within its field of competence for which a Regional Office is responsible:

#### a. Each Technical Office either:

i. At the request of the Associate Director for Field Operations or an affected Regional Office, performs or assists in the performance of the functions listed in Paragraph 1, above, or

ii. If its assistance is not requested, renders, at its discretion, advice to the Regional Office and AD/FO with regard to those functions.

b. AD/FO concurrence is required for specific actions described in Paragraph 1, above, which are taken by a Technical Office; the affected Technical Office's concurrence is required for such actions taken by a Regional Office. Where a required Regional Office concurrence is refused, the Technical Office Assistant Director may raise the issue with the Associate Director for Field Operations.

### C. Evaluation

Within its fields of competence, each Technical Office evaluates sector goals and objectives, the means chosen to achieve them, the extent to which they are being achieved, and the efficiency of project execution.

### D. Personnel Administration

#### 1. Saigon Personnel

With regard to all subordinate personnel located in Saigon, each Technical Office performs all the personnel

Administration functions normally performed by a USAID Technical Office. These include proposing, accepting, and rejecting candidates, through and with the assistance of the Personnel Branch; recommending to the Personnel Branch the assignment and transfer of personnel; training personnel; initiating SPARs; completing and reviewing performance evaluation and development appraisal reports; approving proposed travel and leave; and providing supervision and establishing work priorities.

## 2. Field Personnel

a. All personnel not assigned to Saigon report operationally to the Regional Office to which they are assigned, though they continue to receive professional guidance from their "backstop" office. The Regional Office prepares SPARs for such employees, with the advice and assistance of the "backstop" office; supervises them; assigns or transfers them within the Region, with the advice of the "backstop" office; approves their requests for leave; sets work priorities; prepares their performance evaluation and development appraisal reports and, except for technicians reporting immediately to the Regional Director, reviews such reports.

b. With regard to "field" technicians operating within its respective area of competence, each Technical Office:

i. Receives (and returns to AD/M) information copies of performance evaluation reports and development appraisal reports.

ii. Prepares reviews of performance evaluation and development appraisal reports where the employee (a) reports immediately to the Regional Director or (b) has not been "rated" or had his rating reviewed by an individual of the same general discipline and the office wishes to append an additional review.

iii. Prepares ratings or reviews of employees where the Regional Director and Technical Office Director agree on the arrangement.

iv. Proposes candidates; with the concurrence of AD/FO, accepts personnel for Vietnam field assignment; and

with the concurrence of the affected Regional Offices, assigns personnel to the field or transfers them from one Region to another or to Saigon.

E. Technical Guidance, "Backstopping", and Liaison

1. Within the USAID Community

a. Is responsible to the Mission Director for the quality of advice and service rendered by all USAID technicians operating within its fields of competence.

b. On a continuing basis, furnishes technical advice and, upon request, assistance in its fields of competence to all elements of the USAID and to AID-financed contractors and participating agencies.

c. At its discretion, develops technical guidelines in its fields of competence for inclusion in the USAID/Vietnam manual.

d. Provides technical orientation to direct-hire, participating agency, and contractor employees within its field of competence.

e. In cooperation with the Free World Assistance Staff, assists in identifying opportunities for, coordinating with, and, as necessary, supporting other free world aid donors.

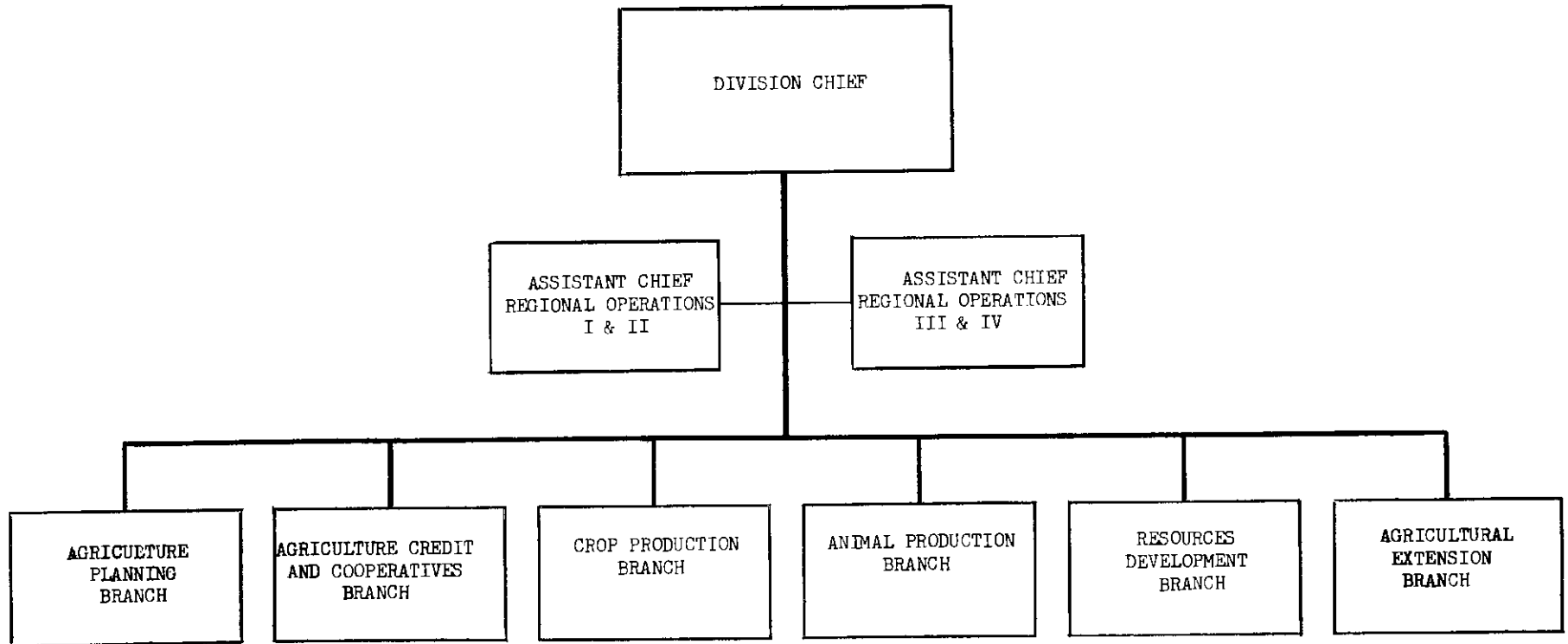
2. Within GVN

a. On a continuing basis, maintains liaison within its fields of competence with GVN/Saigon in order to (i) keep informed of its activities, (ii) keep it informed of AID's activities, and (iii) render advice to GVN/Saigon in the creation of Vietnamese institutions and the development and implementation of project and program plans.

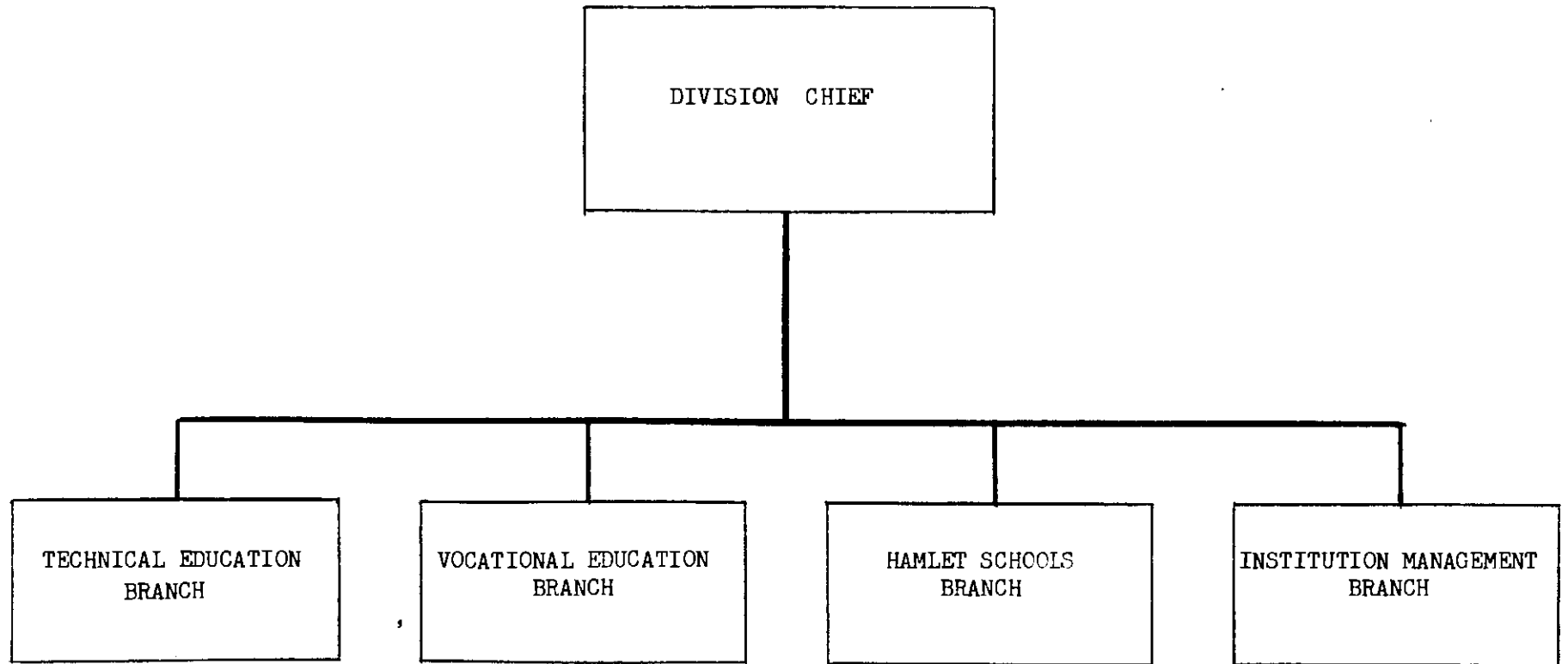
b. On a continuing basis and as requested by the Regional Offices and AD/FO, works with its counterparts in GVN/Saigon to establish requisite priorities and expedite the flow of commodities, services, and money to regional programs.

c. Participates in public and private conferences, functions, and ceremonies related to its work.

AGRICULTURE DIVISION



EDUCATION DIVISION



DIVISION CHIEF

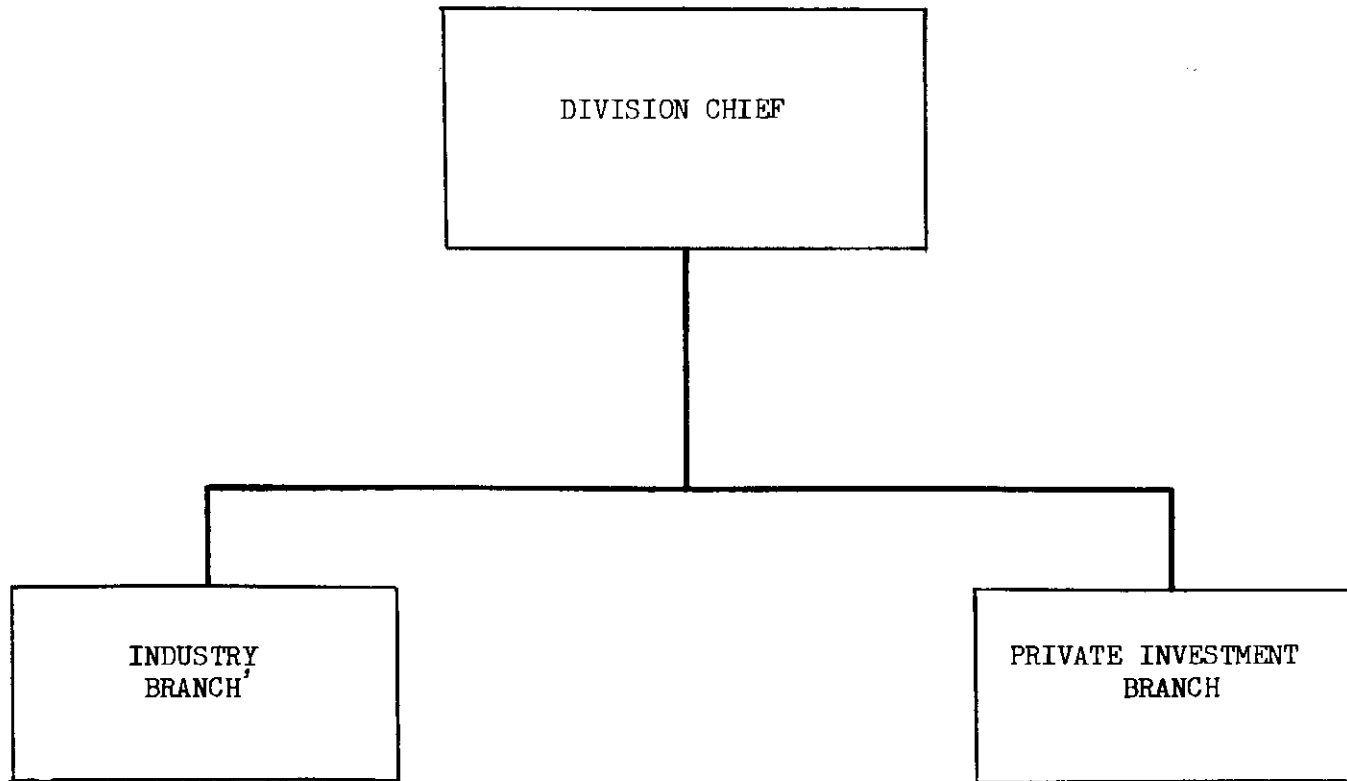
MANPOWER  
BRANCH

EMPLOYMENT  
SERVICES  
BRANCH

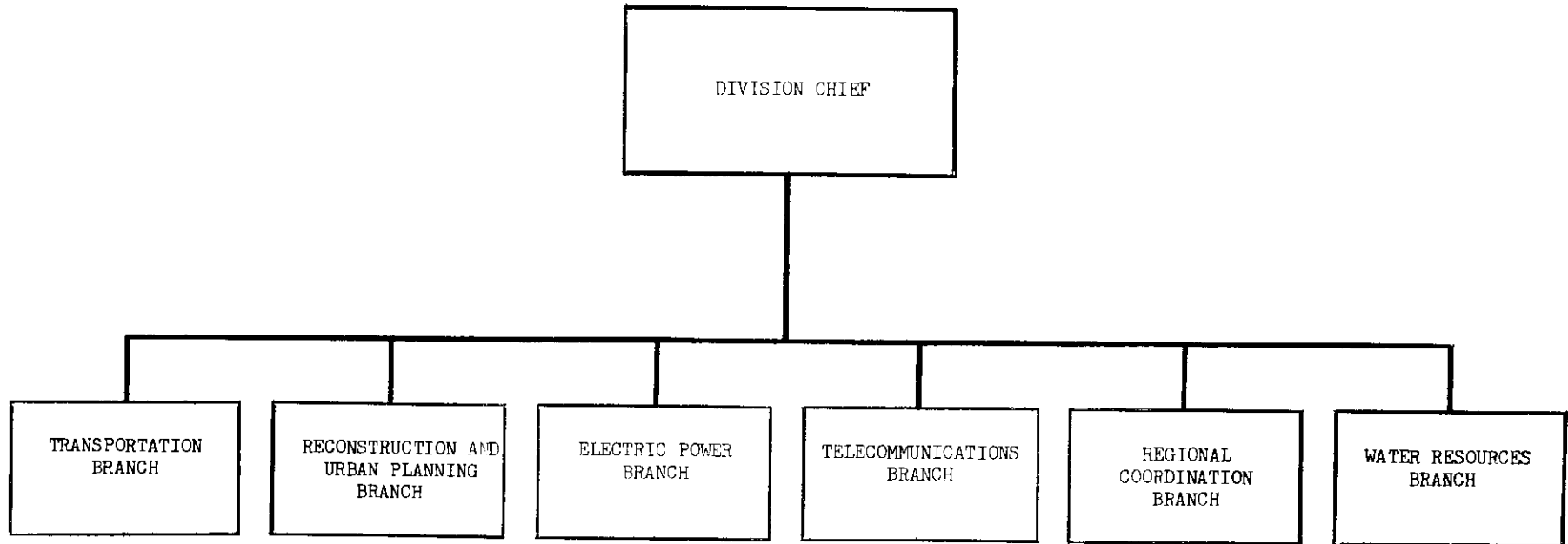
WORKERS'  
EDUCATION  
BRANCH

WOMENS'  
TRADE UNION  
BRANCH

PRIVATE INVESTMENT AND INDUSTRY DIVISION

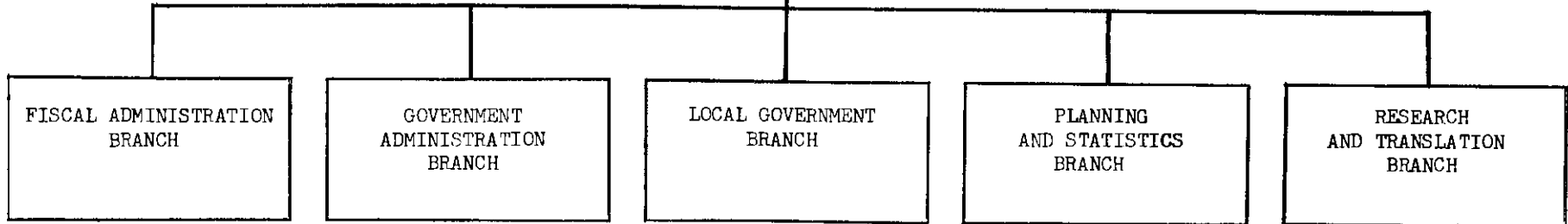


PUBLIC WORKS DIVISION



PUBLIC ADMINISTRATION DIVISION

DIVISION CHIEF



Functional Sub-statement of the  
Office of Technical Services

I. General

The Assistant Director for Technical Services directs and supervises the activities of the Office of Technical Services, which consists of one staff, the Free World Assistance Staff, and six divisions: Agriculture, Public Works, Education, Private Investment and Industry, Public Administration, and Labor. In addition, the Assistant Director is responsible for providing advice to the USAID and GVN in the field of manpower planning and, within the Office of Technical Services, for allocating staff positions among the component units.

II. Specific

In addition to being responsible for all the activities inherent in supervision, the Assistant Director performs the following specific functions with regard to the technical divisions of AD/TS:

A. Planning and Programming

1. With particular attention, as applicable, to (i) their appropriateness to U. S. and GVN objectives, program goals, and strategies, (ii) their effects -- both long and short term -- on Vietnamese manpower availabilities, (iii) the degree of realism in their planning, (iv) the advisability of their proposed method of implementation (AID-direct, contract, PASA), and (v) their over-all cogency:

a. Reviews submissions to AD/PE for inclusion in the annual USAID Program Guidelines.

b. Reviews specific program submissions (to AD/PE) and draft "E-1s".

2. Participates in the OYB process.

B. Implementation

1. Stays informed of the progress of negotiations with GVN concerning projects within the responsibility of AD/TS.

2. Reviews, and periodically measures actual progress against, project action schedules. Readjusts priorities, if necessary, to get delinquent projects back on schedule and to accommodate to changing conditions.

3. Reviews SPARs, PIO/Ts.

4. Participates in project, sector, and program negotiations.

### C. Problem Resolution

Where disagreements arise between AD/TS components or Regional Directors or other elements of AD/FO, seeks to resolve them and, if unsuccessful, refers them for resolution to the Associate Director for Field Operations.

### D. Free World Assistance Staff

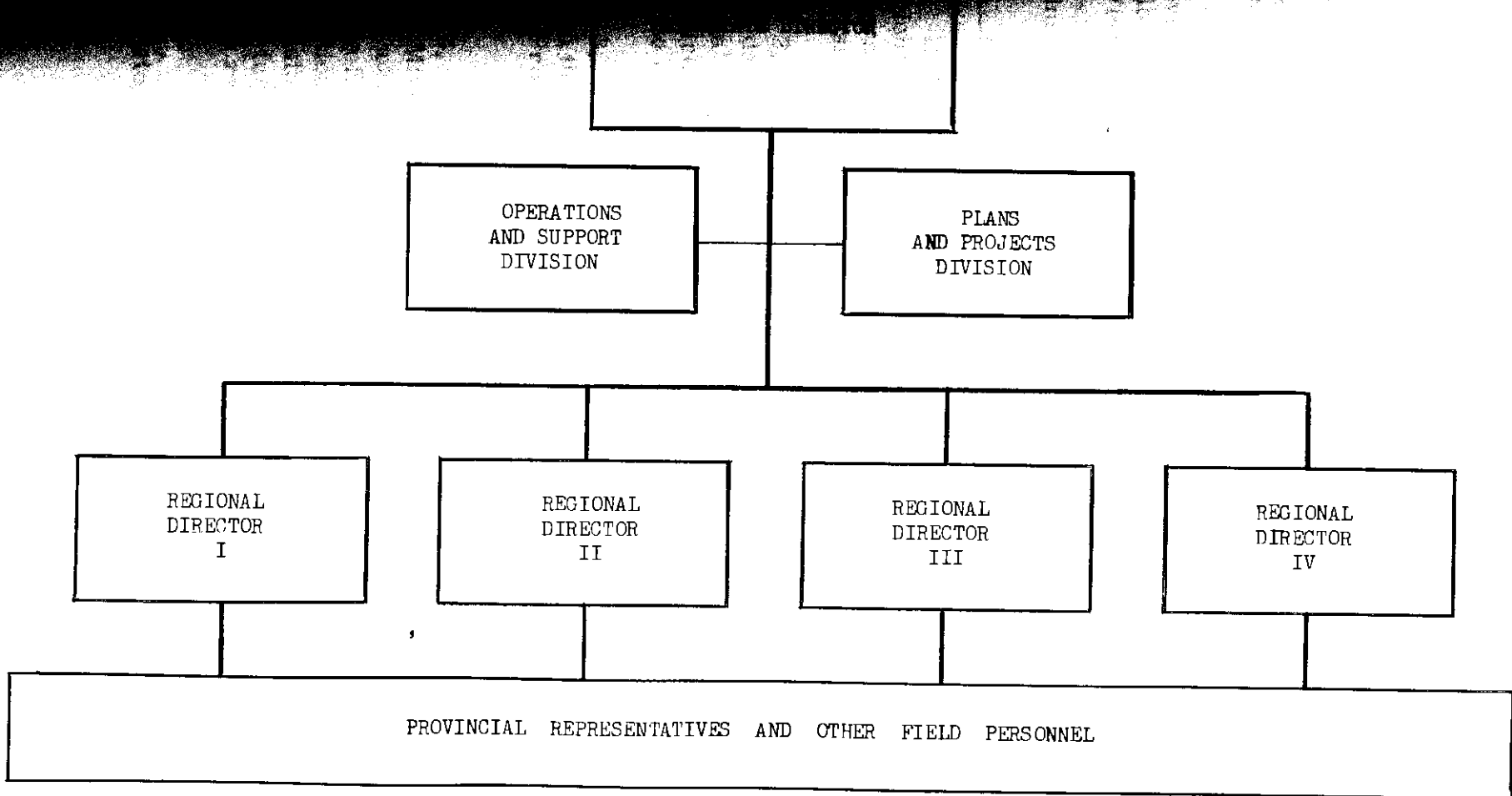
1. In coordination with other elements of the USAID, identifies areas of need in which the contributions of other aid sources might be useful.

2. Advises all elements of the USAID and GVN as to potential free world sources of assistance and assists them, as appropriate, in negotiating with such sources.

3. Seeks to assist actual and potential free world aid sources in providing resources and personnel to Vietnam.

4. Coordinates, to the extent possible, the activities of U.S. donors with those of the USAID.

5. Evaluates for the USAID the efforts of governmental and non-governmental donors other than the United States.



## Office of Field Operations

### General

#### A. Functions

The Office of Field Operations is responsible for all provincial and regional programs --- and for the provincial regional aspects of certain AID national programs --- to Vietnamese economic, political, social, and administrative development, pacification, relief, reconstruction, and insurgency.

#### Relationships

1. Containing the AID Provincial Representatives, Regional Offices, and staff and support units, the Office of Operations is headed by an Associate Director who reports to the Mission Director.
2. The Associate Director for Field Operations exercises day-to-day operational supervision and control over Regional Directors, except that they report directly to the Mission Director in those exceptional circumstances where they may be necessary.
3. Provincial Representatives and other personnel in the field report to their respective Regional Director. Provincial Representatives report to Provincial Representatives.
4. The Regional Director is the principal representative of the Mission Director at the Regional (or Corps) level. In administering those programs for which it has responsibility the Regional Office coordinates, within its region, the execution of programs for which any other USAID office has responsibility. It advises the responsible office of local conditions and furnishes liaison between the responsible office and the regional and provincial personnel.
5. Technical and other USAID offices provide professional assistance and support to personnel within their areas

of competence who are assigned to the Regional Offices. On matters concerning programs for which the Regional Offices are responsible, other USAID offices function as staff offices and report to the Mission Director through the Associate Director for Field Operations.

### C. Mixed Projects

The Technical Offices plan, negotiate with GVN, and support many nation-wide projects which are subsequently administered, within the USAID organization, by the Regional Offices. In such instances, the Office of Field Operations and the Regional Offices are consulted during the planning and start-up phase of the project. Even after the Regional Offices have become operationally responsible for those portions of a nation-wide project falling within their respective regions, the Technical Offices will continue to be responsible for coordinating the national aspects of the total project and for normal "backstopping" of the project with the counterpart central GVN agency.

In all cases, responsible personnel are transferred to the Regional Offices when, and to the same extent that, authority and responsibility are. The phasing (either by project event or calendar date) of such transfers and the numbers of personnel involved are set forth in the project E-1s and revised, as necessary, at the IAD stage by AD/PE.

### D. Communications

Communications to and from the field are through the Regional Directors, except when precluded by emergency or where the message amounts to purely technical advice, in either of which case a copy is furnished by the originator to the Regional Director. The Office of Field Operations, Saigon, receives information copies of reports originating from Provincial Representatives and is furnished by the originator with an information copy of all communications going from other Saigon offices to Provincial Representatives.

### E. Liaison

The Office of Field Operations and its component units are responsible for maintaining continuing liaison with the

United States military establishment in Vietnam, appropriate elements of the RVNAF (e. g., Vietnamese Corps and Division Commanders), Province Chiefs, and, as necessary, with any GVN ministries or provincial sub-divisions through which AID assistance is or may be given under a program for which AD/FO is responsible.

## II. Specific

### A. Regional Offices

Assisted by AD/FO Saigon and, upon request, by other elements of the Mission, each Regional Office performs the following specific functions with respect to programs for which it is responsible.

#### 1. Planning

##### a. Program Guidance

Recommends policy guidance for inclusion by the Associate Director for Program and Economic Policy in the annual USAID Program Guidelines. This includes recommendations regarding sector and regional strategy, program goals, quantitative program objectives, potential activities, and identification of relative priorities. Comments on draft guidelines recommended by other elements of the USAID.

##### b. Proposals

i. With regard to programs and projects for which it is or will be responsible, each Regional Office:

(a) In response to AD/PE's call for program submissions, proposes for AID assistance specific programs and projects from among those requested by GVN.

(b) Prepares project "E-1" documentation for new USAID-approved proposals and for continuations of existing projects. This includes the furnishing of requisite statistical data; costs, commodity, participant training, and manpower estimates; proposed action plans and schedules; and narrative justifications.

(c) During the formulation of the Operational Year Budget, advises AD/FO and AD/PE as to the optimum means for adjusting the proposed program to available funds.

ii. With regard to all programs and projects emanating from AD/FO Saigon or any other USAID element, except those programs and projects limited to Saigon, the Regional Office(s) comments on the project proposals and draft E-1s.

## 2. Project Implementation

### a. Start-up

With regard to programs and projects for which it is responsible, each Regional Office performs the following functions:

i. For each approved project, advises and, in special cases, assists the appropriate Saigon office in negotiating the Project Agreement with GVN.

ii. Designates a project manager to be the direct-hire USAID employee who is primarily responsible within the region for all phases of the project's execution.

iii. After signature of the Project Agreement, in cooperation with GVN, revises and adjusts the action plan, as necessary, thereby converting it to an action schedule. For national programs, advises and, as necessary, assists the "backstop" office in doing the aforesaid.

### b. Execution

With regard to programs and projects for whose implementation it is responsible, each Regional Office is authorized to perform the following functions. Because, however, the Regional Office will not, in most instances, possess the technical competence or staff to perform these functions, it will normally call upon the appropriate "backstop" office to perform or assist in performing them. In all cases, the approval of both the "backstop" office and the affected Regional Office(s) or AD/FO is required.

Where a required approval is refused, the Regional Director or Technical Office Assistant Director may raise the issue with the Associate Director for Field Operations.

i. Documentation

Based on decisions as to the method of implementation --- direct-hire, contract hire, or participating agency --- drafts (initiates) the implementing documents (PIO/Ts, PIO/Cs, PIO/Ps, SPARs and, where necessary, project-related PA/PRs). If the program is to be implemented in more than one region, the documentation for all regions is usually consolidated by the "backstop" office (i. e., one PIO/T, instead of several, is used).

ii. Service Contracts

(a) (The following is almost always done by the "backstop" office in the Regional Office's behalf.) For USAID-negotiated contracts, submits to the contracting officer a draft scope of work; assists him in developing the contract budget and other non-standard portions of the contract; assists the contracting officer in contract negotiation and contractor selection. For AID/W contracts, communicates, as necessary, with the AID/W technical backstop unit and the Far East Contracts Staff with regard to the foregoing.

(b) Administers the contract from the technical viewpoint; reports on contractor performance and contract progress; in cases of changed conditions or sub-standard performance, determines necessary action to adjust performance and if necessary recommends termination of the contract to the Director.

(c) Works with other elements of the USAID and with GVN, as appropriate, to assure their timely fulfillment of obligations necessary to successful contract performance, evaluation, and audit.

(d) Approves or disapproves U. S. and third-country national contractor employees proposed to be sent to Vietnam.

(e) As necessary, recommends changes or amendments to contract terms.

iii. Participating Agency Service Agreements

(a) Approves or disapproves proposed PASA employees.

(b) Provides general operational supervision and general program and policy direction for PASA teams; coordinates their activities with other affected or related activities.

(c) Receives PASA teams' periodic reports; evaluates project performance.

iv. Commodities

(a) With the Office of Logistics, develops specifications for required commodities and recommends schedules for their delivery; follows up to assure conformity to specifications and adherence to delivery schedules.

(b) Advises GVN on the utilization and maintenance of project equipment.

(c) Arranges for the transfer of unutilized equipment to other projects.

v. Participant Training

(a) Determines training requirements.

(b) With the assistance of the Training Officer develops, or outlines for AID/W or third-country implementation, proposed training programs.

(c) With the concurrence of the Training Officer and in coordination with GVN, selects participants.

(d) As necessary, and with the assistance of the Training Officer, monitors the performance of participants in on-going, long-term training.

(e) With the Training Officer, evaluates training rendered and follows up to maintain contact with returned participants.

#### vi. Reports

In accordance with established reporting systems and on an emergency basis as necessary, reports on all phases of project implementation.

### 3. Evaluation

Within its area of responsibility, each Regional Office evaluates sector goals and objectives, the means chosen to achieve them, the extent to which they are being achieved, and the efficiency of project execution.

### 4. Assistance to Other Offices

In the planning, implementation, and evaluation of programs and projects for which other offices are responsible, each Regional Office:

- a. advises as to any aspects of significance to its area of responsibility;
- b. provides liaison between the responsible USAID office and local, provincial, and regional Vietnamese officials;
- c. reports, as necessary, on regional aspects;  
and
- d. in the evaluation process, furnishes information and judgment as to each activity's success from the Regional Office's point of view.

### 5. Personnel Administration

#### a. Regional Office Responsibilities

All personnel not assigned to Saigon report operationally to the Regional Office to which they are assigned, although they continue to receive professional guidance from their

"backstop" office. The Regional Office initiates SPARs for such employees, with the advice and assistance of the "backstop" office; supervises them; assigns or transfers them within the Region, with the advice of the "backstop" office; approves their requests for leave; sets work priorities; prepares their performance evaluation and development appraisal reports and, except for technicians reporting immediately to the Regional Director, reviews such reports.

b. "Backstop" Office Responsibilities

With regard to Regional Office technicians operating within its respective area of competence, each "backstop" office or division:

i. Receives (and returns to AD/M) information copies of performance evaluation reports and development appraisal reports.

ii. Prepares reviews of performance evaluation and development appraisal reports where the employee (a) reports immediately to the Regional Director or (b) has not been "rated" or had his rating reviewed by an individual of the same general discipline and the office wishes to append an additional review.

iii. Prepares ratings or reviews of employees where the Regional Director and "backstop" office or division director agree to the arrangement.

iv. Proposes candidates; with the concurrence of AD/FO, accepts personnel for Vietnam field assignment; and with the concurrence --- or, where AD/FO is the "backstop" office, the advice --- of the affected Regional Offices, assigns personnel to the field or transfers them from one region to another or to Saigon.

B. Provincial Representatives

1. The Provincial Representative is the principal representative of the Regional Director at the provincial level. All Assistant Provincial Representatives within the province report to him. While the Provincial Representative does not normally

supervise technical personnel, he coordinates all USAID activities within the province to which he is assigned.

2. The AID Provincial Representative serves the Province Chief as a general advisor in province management and as a coordinator, expeditor, and liaison man with regard to all facets of AID activities within the province.

3. Within the province to which he is assigned, the Provincial Representative provides to all elements of the USAID support, assistance, advice, liaison services, and information regarding local conditions, needs, priorities, and events.

4. All elements of the USAID clear with the affected Regional Office and, through it, with the affected Provincial Representative(s) impending visits, activities contemplated or being undertaken by them within the province, and contacts made or to be made with Vietnamese provincial personnel.

5. Within autonomous cities, the AID Municipal Advisor performs the same functions and has the same relationships, prerogatives, powers, and duties as Provincial Representatives within provinces.

### C. AD/FO Saigon

#### 1. Special Programs

a. AD/FO Saigon performs all the "backstopping" functions of a Technical Office with regard to special programs for which it is responsible, including, but not limited to, Chieu Hoi, Rural Self-Help, Cadre, Montagnard Development, Youth and Sports, and Rural Construction.

b. With the assistance of AD/PE, AD/FO Saigon edits and consolidates (i) the Regional Offices' submissions for the annual USAID Program Guidelines and (ii) the Regional Offices' comments on projects and programs proposed by other offices.

#### 2. Support Functions

AD/FO Saigon performs the following functions in support of the Regional Offices.

a. Policy and Reporting

i. Develops policies, procedures, manuals, and guidelines pertinent to field operations.

ii. Writes, edits, or coordinates the development of reports by AD/FO to other elements of the USAID, AID, or other government agencies.

iii. Receives, consolidates, edits, and arranges for reproduction and distribution of Provincial Representatives' reports.

b. Revolutionary Development

With regard to programs for "revolutionary development", advises GVN on procedures, policies, and practices for budgeting, accounting, financial management, and auditing.

c. Training

Provides special orientation and training to Provincial Representatives, Assistant Provincial Representatives and, as necessary, other field personnel.

d. Administrative Support

Provides supporting services to AD/FO units in those aspects of personnel administration for which they are responsible, including, but not limited to, the approving, processing, assignment, transfer, and evaluation of personnel.

e. Air Support

Administers the USAID Air Services contract and controls all USAID requests for reimbursable air services from the Embassy or MAC/V.

i. Schedules all air shipments of commodities to the Provinces.

(a) Coordinates with AD/L and the Technical Divisions (which make arrangements for the release of