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AID INFORMATION DOCUMENTATION
MANAGEMENT SYSTEM STUDY

Final Report

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February 15, 1980

Mr. Lee White
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Office of Development Information
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Dear Mr. White:

We are pleased to submit to you this final report of the AID Information Documentation Management System Study. This report represents the culmination of four months of comprehensive review, documentation, and analysis of the key issues impacting the management of information and the role of the Office of Development Information and Utilization in the Agency for International Development. The report is presented in five chapters:

- Chapter I - Introduction
- Chapter II - AID's Institutional Memory
- Chapter III - AID Information Sources and Flows
- Chapter IV - Alternative Acquisition Strategies
- Chapter V - Recommendations

In preparing our report, we feel we have addressed all aspects of the study objectives and are confident that our findings and recommendations will provide some insights into information management in the Agency.

Sincerely,

Richard J. Steele

Birch & Davis Associates, Inc.

Richard J. Steele, CMC
Vice President and
Associate Project
Director



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EXECUTIVE SUMMARY

EXECUTIVE SUMMARY

A serious problem of the Agency for International Development (AID), apparently since its inception, has been the lack of an adequate "institutional memory." This was commented on in a recent, critical report by the General Accounting Office and has been noted in a number of earlier AID internal documents.

An institutional memory in this context is a centralized body of information regarding the aggregate experience, activities, and accomplishments of the organization over a period of time. Without such a memory, or with an incomplete one, an organization uses its finite resources less effectively. More specifically, and with direct reference to AID, inadequacy of the institutional memory has several adverse results:

- AID cannot identify readily all the projects, research studies, and evaluations it has funded.
- AID lacks a centralized, complete collection of all documents and reports produced through AID-sponsored or AID-funded projects, programs, and research activities.
- AID may design projects without the full benefit of the Agency's past experience because there is no way to identify and retrieve information about all similar, prior endeavors. Consequently, duplication of effort can occur easily.

To correct this deficiency, the Office of Development Information (DS/DIU) was established as a component of the Development Support Bureau in November, 1977, and was charged with establishing and maintaining the institutional memory of AID. Since that time, DS/DIU has committed substantial effort to building a complete collection of project documents, research and technical documents, and evaluative documents resulting from AID-sponsored or AID-funded development activities, and to making information from this collection available to AID headquarters (AID/W) and Mission personnel and to other interested parties on request.

Achievement of DS/DIU's objectives has been thwarted, however, by the fact that the document acquisition system has been less than fully effective. This tends to be a circular problem: because the DS/DIU institutional memory is incomplete, but not in a highly systematic pattern, it is underutilized; because potential users are not in the habit of depending on DS/DIU for filling information needs, they also are not in the habit of sending new information routinely to DS/DIU, so the collection becomes progressively more incomplete.

Recognizing the need to solve this problem, AID engaged Birch & Davis Associates, Inc. (B&D) to assist DS/DIU in developing a cost-effective acquisition system. Through interviews with potential contributors to and users of the AID institutional memory in all four Geographic Bureaus and in selected support Bureaus, the B&D project team refined the definition of what information should form the institutional memory (i.e., the DS/DIU collection), determined where that information now originates and how it flows through AID, and documented and evaluated the system by which DS/DIU now acquires documents. Based on these findings, the project team recommended changes in the acquisition system.

An important limitation on the study was the fact that the scope of work did not include interviews in the Missions, potentially (and perhaps actually) the most important contributors to and users of the DS/DIU collection. This deficiency was remedied in part through interviews of AID/W personnel with recent Mission experience, but the lack of a true Mission perspective may result in some bias in the findings and recommendations. B&D is confident, nevertheless, that the project results are essentially sound.

The interviews revealed a remarkable lack of appreciation among AID/W personnel of the value of information and of an institutional memory. This is especially true among many of the AID technical specialists; most of these specialists have developed their own sources of information outside AID (e.g., university libraries and faculties) and, not being regular users of DS/DIU, are not conscious of the potential information needs of others--particularly the Missions--who do not have such sources. Consequently, there is little enthusiasm in this group for ensuring the existence of an effective AID institutional memory.

Perhaps as a corollary, there is an indistinct image of DS/DIU itself throughout AID. Many of the people interviewed are not clear on the functions and services of DS/DIU, and a few are even unaware of its existence. Enthusiastic supporters of DS/DIU and the institutional memory concept were rare in AID/W.

Examining the DS/DIU acquisition system more directly, it is evident that it is neither systematic nor reliable. It relies quite heavily on informal methods, such as picking up documents in the AID print shop and acquiring the personal files of retiring employees, and on personal contacts of varying permanence and reliability in the various Bureaus and Offices. As a result, significant gaps in acquisition occur, but without a consistent pattern for which compensating mechanisms might be developed.

After reviewing the existing situation in detail, the B&D project team considered alternative acquisition strategies. Considerable attention was focused on two diametrically different possibilities: an active acquisition strategy and a passive acquisition strategy.

In an active acquisition strategy, DS/DIU would mount a sustained initiative to identify documents which should become part of the institutional memory and to take positive steps to acquire these documents. Responsibility for making the system work would rest almost entirely on DS/DIU, not on the potential contributors of documents. The B&D project team concluded that this strategy would require a substantial increase in the resources committed by DS/DIU to acquisition and also would require significant changes in existing AID administrative procedures. One possibility in the latter area, for example, would be to require DS/DIU certification that it had received copies of all project documents before the final close-out on all AID contracts and grants. Because of the anticipated cost and difficulty of implementing this strategy, the active approach was rejected.

A passive strategy, in contrast, would place the primary responsibility for making the acquisition process work on the generators of information, not on DS/DIU. It would become an important matter of policy for all Bureaus and Offices of AID, and AID Missions also, to ensure that all documents which should become part of the institutional memory are sent to DS/DIU. The B&D project team concluded that this strategy would work only if it was driven by continuous and energetic support and enforcement from AID top management--an unrealistic expectation--and imposition of some form of sanctions on offices which did not comply--sanctions which are almost as likely to be counter-productive as effective. Therefore, this strategy in its pure form was rejected also.

Weighing the strengths and weaknesses of these two approaches, the B&D project team determined that the potentially most effective strategy would be one that combines some features of both. The key features of the "mixed" strategy finally recommended to DS/DIU, several of which are expansions or reinforcements of methods already in use by DS/DIU, are:

- An initial directive from the AID Administrator or Deputy Administrator expressing unequivocal support for the concept of an institutional memory and directing Agency-wide cooperation with DS/DIU in establishing and maintaining such a memory
- Revision of Handbook 18 and appropriate sections of Handbook 3

- DS/DIU contact with all primary sources of information throughout AID to ensure their understanding of DS/DIU's role, responsibilities, and needs, soliciting their ongoing cooperation in providing information to DS/DIU, and promoting vigorously the value of information and of an institutional memory
- Establishment of a DS/DIU monitoring system which would enable DS/DIU to identify documents it should have acquired and did not, and DS/DIU follow-up with the originators of the missing documents to acquire those documents
- Inclusion of specific requirements for submission of all project documents in the Schedule, not the General Provisions, of all future AID contracts and documents

The B&D project team concluded that this strategy could be implemented successfully by DS/DIU within its existing resources and would not create undue strains elsewhere in AID. It could be effective over the long run without repeated expressions of top management support and active involvement.

Although the recommended strategy appears superior to any alternatives considered, it does have limitations which should be recognized:

- Existing communications processes between the Missions and AID/W do not ensure that AID/W is informed invariably of all project-related documents produced at the Mission level. To the extent that documents are produced in the field without knowledge of AID/W, the monitoring system is unlikely to flag them as omissions from the DS/DIU collection.
- Although the recommended strategy will ensure acquisition of most documents produced in the future which should be part of the AID institutional memory, an enormous separate effort would be required to identify and acquire all the documents which should have been entered into the DS/DIU collection over the past several years but were not.
- The success of even this recommended strategy will depend to a considerable extent on the level of voluntary cooperation of the various Bureaus and Offices of AID/W and even more so of the Missions.

Although these limitations are real, they would apply to more or less the same extent to any of the alternative strategies considered. Actually, they are byproducts of the underlying

situation in AID and existing administrative processes, not of the acquisition function itself. Therefore, they do not distract from the confidence with which the B&D project team recommends the "mixed" strategy rather than either of the other principal alternatives.

CHAPTER I
INTRODUCTION

I. INTRODUCTION

This is the final report to the Office of Development Information and Utilization, Development Support Bureau (DS/DIU), Agency for International Development (AID) on the AID Information Documentation Management System Study.

1. BACKGROUND AND OBJECTIVES OF THE PROJECT

The Agency for International Development is a multi-billion dollar Federal agency which provides assistance to the poor and underprivileged in less developed countries (LDC) of the world. Such assistance is usually provided in the form of "projects" designed to meet a particular problem or need of a population in either a LDC or a less developed region of the world.

These projects, which are often expensive and complex undertakings, are supported further by a significant number of research and evaluation studies. The amount of information generated by and for AID projects is thus enormous.

Due to the large volume of information produced and the value of this information to the Agency, it is imperative that this information be collected centrally and systematically in order for it to be readily identified and made available upon request.

In November, 1977, the Office of Development Information and Utilization, Development Support Bureau was established and assigned primary responsibility for maintaining the institutional memory for AID. This responsibility has involved both the collection of information produced or sponsored by AID, as well as active dissemination of this information to the field Missions and to AID/Washington (AID/W) personnel. Though DS/DIU has had an effect upon the development of an institutional memory, its collection remains incomplete.

An incomplete institutional memory has several effects:

- AID cannot readily identify all of the projects, research studies, and evaluations that it has funded.
- AID lacks a centralized and complete collection of all documents and reports produced through AID-sponsored or AID-funded projects, programs, and research activities.
- AID may design projects without the full benefit of AID's past experience because there is no systematic way to identify all similar AID projects.

In recognition of this problem, AID contracted with Birch & Davis Associates, Inc. (B&D) to assist DS/DIU in becoming more effective in acquiring the information which should become part of the institutional memory. Specifically, the project had these objectives:

- Identify information which must be acquired and retained by DS/DIU to satisfy the information needs of the Agency.
- Document the sources and flow of information within AID.
- Document the system (including its strengths and weaknesses) by which DS/DIU presently acquires information.
- Recommend changes (including changes in AID Handbook 18) in DS/DIU's acquisition system to ensure that DS/DIU acquires all the information it is required or expected to acquire.

This final report, along with a previous interim report, addresses these objectives.

2. SCOPE OF WORK

AID produces huge amounts of information through its own activities or through the activities of AID-funded contractors and grantees. In addition, there is another large body of information relevant to AID activities produced by other nations, international organizations, universities, research centers, other Federal agencies, and private organizations. This project, however, focuses only on information generated directly by AID or by AID-funded contractors and grantees.

Within this body of information, we have emphasized the following types of information:

- Project Documents--Documents related directly to the conception, design, and implementation of development projects, including project papers, project implementation orders, and reports generated in the course of project work.
- Research and Technical Documents---Technical studies and research reports generated by, or in support of, AID activities which are not necessarily related to specific development projects. Such documents include reports or studies such as sector assessments, used for internal AID management and project design purposes, and reports of basic and applied research performed and sponsored by AID which add to the world's base of knowledge.

- Evaluative Documents--Reports generated by AID Bureaus, directly or through contracts, which evaluate the effectiveness of AID projects and programs.

Our purpose was to determine what documents DS/DIU presently collects, what documents DS/DIU should be collecting, and what mechanisms can be employed to ensure the effective, economical, and complete acquisition of such documents in the future.

The technical approach consisted mainly of interviews with key individuals throughout AID. Appendix A contains a list of completed interviews which reflects a combination of those initially identified through position title as well as those to whom we were referred based upon their functional responsibilities and interest in the project at hand.

One important limitation on our scope of work is the absence of interviews with personnel in the various AID Missions. AID administers its assistance to less developed countries principally through a network of Missions located in the countries receiving assistance. Throughout our interviews, many individuals stressed the importance of the Missions to AID's functions and the supportive role of personnel in the Washington, D.C., headquarters of AID (AID/W). To many, AID/W exists only to serve the Missions. In this context, the primary users of AID generated information (and often the primary generators of information) are, and should be, Mission personnel. The time and resource constraints on this project, however, precludes visiting Missions to gain insight into their needs for information and the sources and flow of information from the Missions. Although we attempted to gain as much insight on this aspect of AID in discussions with AID/W personnel formerly assigned to Missions, our study was limited primarily to the AID/W organization.

3. ORGANIZATION OF THE REPORT

The first chapter of the report describes the project, its objectives, and the scope of work. The second chapter presents first, the concept of an institutional memory and its limits, then a discussion of AID's institutional memory--DS/DIU--within that context, focusing on DS/DIU's acquisition system. The third chapter describes the sources and flow of information in AID. Chapter IV is an analysis of alternative acquisition systems in view of the information flows throughout AID. Finally, Chapter V presents our recommendation for an optimal acquisition system including recommended changes in relevant AID Handbooks, AID and DS/DIU operating procedures, distribution procedures, and assigned responsibilities.

CHAPTER II

AID'S INSTITUTIONAL MEMORY

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II. AID'S INSTITUTIONAL MEMORY

This chapter presents first, the concept of an institutional memory and how the effectiveness of that memory is often impacted by individual and organizational characteristics. Within that framework, AID and its institutional memory, DS/DIU is then discussed. Finally, we focus on a key component of AID's institutional memory, DS/DIU's acquisition system, to illustrate the interactions among the factors that impact the effectiveness of DS/DIU and that system.

1. THE CONCEPT OF AN INSTITUTIONAL MEMORY

An institutional memory is a centralized body of information regarding the collective experience, activities, and accomplishments of an organization over a period of time. An institutional memory serves much the same function for an organization as does personal, memory for every individual.

Without a memory or with an incomplete memory, an organization tends to use its finite resources less effectively. An incomplete or inadequate institutional memory often can result in duplication of effort or use of less effective methods in performing its function.

An institutional memory may reside in the collective minds of all members of the organization. But this is insufficient for a number of reasons. First, most organizations are characterized by continuous change. Members of organizations also are shifting continuously within and among organizations so that the collective memory of members also changes.

Secondly, organizations are characterized by imperfect information flows. The knowledge possessed by one part of an organization can be transmitted only imperfectly to another, and even then only if each part is aware of the knowledge possessed by others.

Third, information demands on an organization frequently originate from external sources. To respond to these demands, the organization needs to:

- Identify appropriate individuals within the organization who can satisfy the demand, if they are current members.
- Provide resources to organize and disseminate the information.

Because these steps are time-consuming and inherently ad hoc, an organization whose memory resides only in the collective minds of its members typically responds to external demands for information incompletely and in a time frame which may impair usefulness of the response to the external source.

Therefore a key component of the definition of an institutional memory is that it should be a centralized body of information. Only through centralization of the collective experience, activities, and accomplishments of an organization can that organization ensure that:

- Its memory is as complete as possible, given organizational and personnel changes.
- It can disseminate information on its experience, activities, and accomplishments in an effective and timely manner to both internal and external inquirers who need or want that information.

2. FACTORS DETERMINING THE EFFECTIVENESS OF AN INSTITUTIONAL MEMORY

The effectiveness of a centralized institutional memory is impacted by a number of factors.

One factor is the perception on the part of senior management and other personnel that the institutional memory is a necessary and useful resource. If this attitude of support is evidenced in all levels of an organization, it is likely that sufficient personnel, space, and budgetary allowances will be devoted to supporting the needs of the institutional memory. Without clear evidence of these supportive attitudes and resource commitments, development of the institutional memory will be greatly hampered.

The amount of information and the rate at which it is generated can also limit the ability of the information system to capture all relevant materials and be complete. As both the volume and rate increase, so will the difficulties associated with obtaining the information.

The ability of the information system to capture the bulk of current materials also directly depends upon the cooperation of Agency personnel and the existence of a well-defined and on-going information acquisition program. The acquisition system must be designed to blend with daily operations and be as least disruptive and cumbersome as possible. If the acquisition system is functioning properly and there is sufficient cooperation of Agency personnel, the difficulties often posed by both a high information volume and production rate can be overcome.

Another factor is the scope of collection, which must be defined at the outset if there ever is to be an effective institutional memory. It is possible for the scope of collection to limit the effectiveness of the institutional memory. For example, if DS/DIU were to collect all types of information, such as research material, cables, and airgrams, it would require a heavier investment in acquisition, processing, and storage, and the difficulties of information retrieval and dissemination would be compounded.

3. AID AND DS/DIU

DS/DIU is designated as AID's institutional memory. As such, it should be the central repository of AID's collective experience, activities, and accomplishments. In attempting to fulfill that role, however, many of the factors discussed above have impacted on DS/DIU.

First, in regard to Agency perceptions about DS/DIU, we found a wide variety of views. Most of those we interviewed indicated that an Agency-wide information system could be of particular use to project designers. Such a system would help prevent unintentional duplication of development projects as well as enhance the quality of the Agency's project portfolio. In addition, an information system was viewed as useful in identifying the range of AID activities conducted in various regions of the world as well as in the different technical specialties. This was viewed as helpful for planning purposes and for responding to public inquiries. In addition to providing information to people in their own geographic or specialty areas, an Agency-wide information system was viewed as being able to provide access to information outside their particular geographic area or discipline. It also was recognized that AID is an extremely large and organizationally complex agency, and that there is much rotation of personnel to the field Missions and within AID/W. Therefore, there is a great need to fix the information in a permanent system or "memory bank" to enable easy access to the information.

A few of those interviewed in the Agency believed, however, that there is no need for a unified institutional memory. Among some technical experts there was the feeling that it was unnecessary to consult DS/DIU for information in their technical areas. Instead, they believed they would rather operate under an informal system and go directly to the source, (e.g., the researcher or the AID Project Manager) or to make use of external resources. Some technical specialists in the DS Bureau believed that it would not be particularly helpful to examine historical project-related information, because they believe that technical advancement is constant and looking backward would provide only limited benefit. Among those interviewed, there is an implicit assumption that those involved in program/project development are exceedingly knowledgeable

about their particular functional areas, both in terms of project history and state of the art. Therefore, they have no need to refer to an AID institutional memory for assistance.

Most of those who were less supportive of the concept of an information system apparently were unaware of the large volume of requests for information which DS/DIU receives from the field Missions, from other AID/W personnel, and from external sources. They assumed that, since they did not require the services of an information system, the demand for information from others in the Agency also was minimal.

Interestingly, there were some individuals in the Agency who did not have a clear understanding of the role and function of DS/DIU and the range of services which DS/DIU provides. Specific knowledge of DS/DIU's services ranged from those who had no idea what DS/DIU was or in which Bureau it was located, to those who knew about DS/DIU in general but were familiar with only a portion of the services provided, such as the Development Information Center.

In terms of the scope of DS/DIU's collection, the perceptions of Agency personnel also vary. Most of the Agency personnel interviewed perceived value in a central repository of AID project-related experience, including approved project design information and evaluative materials.

There was general agreement among those interviewed that routine cable traffic and general correspondence would be of use only to those directly involved in the particular project and would not have wider applicability, and should therefore not be a part of DS/DIU's collection.

The few individuals in DSB who did not subscribe to the need for a centralized institutional memory also held the view that research material should not be maintained in the AID information system. These users of research information tend to have very specialized needs. To satisfy these requirements, they tend to rely upon specialized libraries which are often outside the Agency. As an example, agricultural specialists need information which is generated by a wide variety of sources such as the Department of Agriculture, land grant colleges and universities, and other research institutions. Therefore, these specialists rely on data bases which specialize in maintaining information on agriculture. To these individuals, DS/DIU cannot duplicate these alternative resources effectively.

In most interviews, there was a direct correlation between the value the individual places on information generally and his/her contributions to the functioning of the information

system. There were, however, some departures from this pattern. There were many who recognized the value of information but did not have a clear understanding of DS/DIU's services or an appreciation for the nature and volume of information requests which DS/DIU receives from the field Missions, other AID/W personnel, and external users (e.g., LDCs). Therefore, they saw no need to contribute to "increasing the Agency's paper flow" if they saw no purpose associated with it.

All of these factors impact DS/DIU's effectiveness. As the General Accounting Office has noted in their report and we have confirmed, there appears to be significant gaps in DS/DIU's present collection of AID's experience, activities, and accomplishments.

It has been observed that the greatest gap in DS/DIU's collection exists with respect to research and technical documents. The amount of research information generated by AID varies greatly among the Bureaus, but DSB--especially the Offices of Agriculture and Population--is a major sponsor of research.

As discussed earlier, it appears that some technical specialists believe that DS/DIU is not the best source for the kind of technical information which they require and tend to use external resources. As they do not focus upon DS/DIU for receipt of services, they also do not tend to contribute information to DS/DIU. Therefore, gaps in research information have developed.

Similar factors have resulted in gaps of design and evaluative documents as well.

4. DS/DIU's ACQUISITION SYSTEM

A variety of methods are employed to identify and acquire information generated by AID or under contract to AID, but there is no systematic and reliable approach to document acquisition.

At present, DS/DIU's information acquisition is informal. Several DS/DIU staff members have developed lists of personal contacts to assist them in the acquisition of AID-generated information. A comparison between each of the contact lists revealed, however, that there is a lack of coordination among DS/DIU staff members regarding contact points for information acquisition. There seems to be a duplication of effort in some instances. For example, in some cases, multiple names are listed in a particular office without distinction as to their functional areas or the types of documents which they can provide to DS/DIU. There also are many offices which generate information but which do not appear on any of the lists.

In addition to the use of personal contact lists, other methods are employed to acquire AID generated information:

- DS/DIU appears on some standard distribution lists.
- Agency personnel who are retiring or going overseas for a long time frequently turn a large portion of their documents over to DS/DIU.
- DS/DIU receives information as a result of office cleaning and lack of storage space.
- Individual AID authors who produce a great deal of literature are contacted regularly.

This informal acquisition of AID information combines with other factors to impact further the effectiveness of DS/DIU as the AID institutional memory.

First, there is no reasonable assurance that a particular contact-person in AID will remain in the same office for a significant amount of time. Agency personnel rotate frequently to the field Missions and to other offices in AID/W. To confirm this, a sample of offices were called to verify whether or not the contact-person was still assigned to the office listed on the acquisition list. In some cases the person no longer worked in the same Bureau, and in others phone numbers had been changed. If responsibility for distributing information to DS/DIU is not a formal one which is fixed by office and tied to a particular position in each office, there is a greater likelihood that the responsibility will not be carried out reliably.

Second, informal acquisition does not have built-in checks and balances to identify gaps or errors, to ensure that information is being sent to DS/DIU, or to allow DS/DIU to identify what is missing. An informal acquisition system without checks and balances virtually assures an incomplete collection in view of the varied perceptions of Agency personnel.

5. CONCLUSION

This chapter has illustrated that the ability of DS/DIU to successfully carry out the responsibility for maintaining the AID institutional memory is affected by:

- The perception of senior management and other personnel that the institutional memory is a necessary and useful resource

- The amount of information and the rate at which it is generated
- The cooperation of Agency personnel and the existence of a well-defined and ongoing information acquisition program
- The scope of information collected

To ensure more effective acquisition of AID-generated or -sponsored information, the factors listed above must be considered in the selection of an information acquisition strategy. The strategy selected should be able to function within the context of AID's operating philosophies and information flows rather than outside them. The next chapter of this report documents the sources and flows of information through which DS/DIU must function to meet its objectives effectively. The final two chapters then present alternative acquisition strategies and an approach, with implementation steps, which will achieve effective acquisition of AID information.

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CHAPTER III

AID INFORMATION SOURCES AND FLOWS

III. AID INFORMATION SOURCES AND FLOWS

This chapter is divided into three sections. The first contains a discussion of information sources in each of the Geographic Bureaus. The second section addresses the same subject with regard to the non-Geographic Bureaus in the Agency, and the third section focuses on the contracts and grants system as an additional source of information.

Because AID is an extremely complex organization and is involved in a diverse array of development activities, the Bureaus have developed rather individualized organizational structures, management systems, and procedures for administering their activities. As a result of these organizational and operational differences, a variety of sources of information can be identified. Exhibit I, following this page, illustrates various sources of information in the Agency. It shows that sources of information vary with regard to the kind of information involved (e.g., whether it is project design documentation, evaluative material, or technical information) and where it is maintained (i.e., the same type of information may be maintained in different offices depending upon the Bureau involved).

1. GEOGRAPHIC BUREAUS

To a large extent, most of the project related information produced or sponsored by the Geographic Bureaus is maintained in a relatively centralized fashion.

(1) Design Documents

The Geographic Bureaus either currently maintain or are in the process of developing a centralized file for all Bureau-produced or -sponsored design documents. The central file for design documents is usually located in either the Development Resources Office or the Project Development Office, depending upon the particular organizational structure of the Bureau. Exhibit I illustrates the exact location of this information in each of the Geographic Bureaus.

Unlike the other three Geographic Bureaus, however, the Africa Bureau has two centralized files of design documents. Though the bulk of the Africa Bureau's design documentation can be located in the Office of Development Resources, the Office of Regional Affairs maintains a separate set of files for activities or projects which involve several

EXHIBIT I

SOURCES OF INFORMATION
BY DOCUMENT TYPE AND BUREAU

TYPES OF INFORMATION			
BUREAUS	DESIGN DOCUMENTS	EVALUATIVE DOCUMENTS	TECHNICAL DOCUMENTS AND OTHER INFORMATION
Bureau for Development Support	Program Office	Program Office/ Evaluation	Project Managers (Technical Offices)
Bureau for Private and Development Cooperation	Individual Offices	Individual Offices	Individual Offices
Africa Bureau	Development Resources and Regional Affairs	Development Planning/ Evaluation	Project Managers (Development Resources/Technical Operations Division)
Asia Bureau	Project Development	Development Planning/ Evaluation	Project Managers (Office of Technical Resources)
Latin America Bureau	Development Resources	Office of Development Programs/ Policy Planning and Evaluation	Project Managers (Development Resources)
Near East Bureau	Project Development (Project Development and Support Division)	Development Planning/ Evaluation	Project Managers (Office of Project Development and Office of Technical Support)

African countries on a regional basis. At present, there is no official link between the files contained in the Office of Regional Affairs and in the Office of Development Resources.

(2) Evaluative Documents

The Bureau for Program and Policy Coordination (PPC) has recently developed a new system for the distribution of evaluative materials.* Under the revised system, evaluative documents, whether produced in AID/W or in the field Missions, will be sent to the Bureau for Program and Management Services, Office of Management Operations, Publications and Audio-Visual Arts Division (SER/MO/PAV) where they will be reproduced and distributed according to revised and detailed distribution lists. Each evaluation will be submitted under the cover of a Project Evaluation Summary (PES) face sheet or under a cover memorandum which will contain the term F.S. The SER/MO/PAV staff will identify the evaluations through the key word "PES" regardless of the exact type of evaluation performed. DS/DIU will be listed as one of the standard recipients of these documents. This system should enable DS/DIU to receive most of the evaluations generated, specifically, those for which the evaluation offices in AID/W have primary responsibility and those of which they are aware. In addition, PPC has instructed each Mission to inform the appropriate Geographic Bureau's Evaluation Office by cable, that the evaluation has been sent and can be expected in AID/W. This cable will contain all of the elements necessary to identify each document, i.e., project number, title, Bureau, etc., so that the Bureaus will be able to identify both the documents already received and those which are en route.

In each of the Geographic Bureaus, the Office of Development Planning or Development Programs has responsibility for maintaining centralized files of evaluative documents for the particular Bureau. Exhibit I illustrates the title of the specific office in each of the Geographic Bureaus.

The Near East Bureau operates in a somewhat different fashion from the other Geographic Bureaus regarding the evaluation process. The individual Project Managers in the Office of Project Development are the primary recipients of all evaluative materials. The project Managers are

* This system will replace the airgram system which recently has been discontinued.

responsible for recording receipt of the documents and for distributing them. Both the Near East Bureau, Office of Evaluation, and DS/DIU routinely appear on all distribution lists and therefore should receive copies of all documents. In addition, the Near East Bureau/Office of Project Development/Project Development and Support Division publishes a quarterly report listing documents which have been received in the Near East Bureau over a specified time period. Evaluative documents have not previously been included in the report, however, it is planned that evaluative documents will be included in the future.

(3) Technical Documents And Other Types Of Information

In all of the Geographic Bureaus, technical reports, interim reports, and research documents are kept by the Project Managers. There are no central systems in any of the Geographic Bureaus which maintain files of these documents or which uniformly identify that the information has been received. Distribution of this information is the responsibility of the Project Manager and tends to be random.

(4) Information Produced Through An Operational Program Grant (OPG)

In most cases, OPG's are not used to finance a specific product, such as a report, but rather to finance a portion of a Private and Voluntary Organization's (PVO) general activities or programs. Most of the information received by AID/W is in the form of progress reports and financial reports. In cases where a specific research effort is undertaken or a major report is produced, it is usually submitted to the sponsoring Mission and remains in the Mission files. The overwhelming majority of the people we interviewed believed that these reports are not produced very often and that an attempt to capture this information would prove to be very difficult and costly. All of the Geographic Bureaus are aware of the funds which have been obligated to the PVO's and can usually identify the nature of the activity financed.

The Near East Bureau is attempting to centralize all substantive information produced through OPG's, in the Office of Technical Support/Sector Planning and Rural Development Division.

To a large extent, the Near East Bureau's desire and ability to control and monitor this information is directly related to the small number of Missions which it has. Control and monitoring is considered to be much more difficult in the other Geographic Bureaus, which have many more Missions to which considerable contract and grant authority has been delegated.

2. NON-GEOGRAPHIC BUREAUS

Both the Development Support Bureau (DSB) and the Bureau for Private and Development Cooperation (PDC) operate uniquely with respect to information collection and storage.

(1) Development Support Bureau (DSB)

The Development Support Bureau is both centralized and decentralized with respect to information collection. Like the Geographic Bureaus, the way in which information is handled is directly related to the kind of documentation involved:

- All Design Documents are received by the DS/Program Office and are kept on file there.
- Evaluative Materials also are stored in the DS/Program Office and are governed by the same system under which most of the Geographic Bureaus operate (i.e., evaluations are sent to SER/MO/PAV for reproduction and distribution).
- Technical and Other Types of Information generally remain with the individual Project Managers in the technical offices. In this respect, the DS Bureau functions similar to the Geographic Bureaus. Distribution of these types of documents is similarly random and depends upon the Project Manager involved.

(2) Bureau For Private And Development Cooperation (PDC)

The Bureau for Private and Development Cooperation is, in our study, the most decentralized Bureau in the Agency with regard to information sources. Though almost all of the Bureau's design documents, for example, flow through the Office of Program and Management Support, they are not permanently filed there. Instead, the Office of Program and Management Support emphasizes a highly decentralized approach to information collection and storage. Therefore, PDC/PMS delegates this responsibility to each of the component offices (e.g., Office of Private and Voluntary Cooperation, Office of Food For Peace, Office of U.S.

Foreign Disaster Assistance) which maintain their own centralized filing systems for design and evaluative documents, and for research and technical reports.

3. BUREAU FOR PROGRAM AND MANAGEMENT SERVICES/OFFICE OF CONTRACT MANAGEMENT (SER/CM)

The Office of Contract Management provides an important link in the chain of information sources and flows in the Agency. The information which is handled by SER/CM involves both contracts and grants, which represent a significant portion of the activities undertaken by AID. This Office could be a critical element in an Agency-wide information system, because its authority and activities cut across geographic and technical areas. This section will provide an overview of the contract and grant process and will identify potential sources of information for DS/DIU.

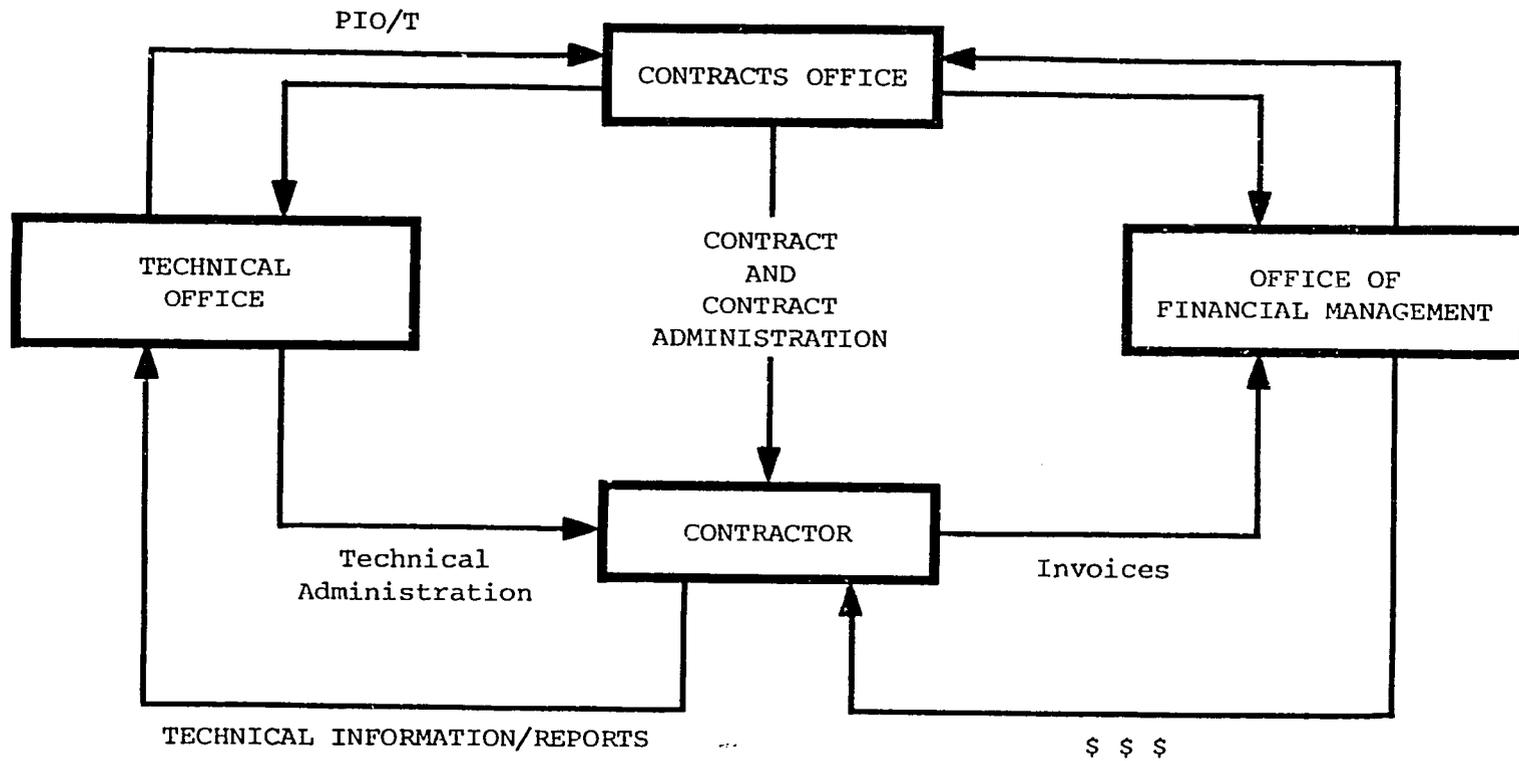
Exhibit II, following this page, illustrates the process. The process begins with the development of a Project Implementation Order/Technical Services (PIO/T), which is prepared by the individual Project Manager. The PIO/T contains a description of all significant elements of the project or activity to be financed by AID, such as:

- Scope of Work
- Reports by Contractor or Participating Agency
- Project/Activity Number and Title
- Cooperating Country
- Estimated Financing
- Other Information

The PIO/T is then used to develop the specific contract or grant documents. There are two substantive sections of a contract or grant. The first section is referred to as the Schedule, which contains information unique to the particular grant or contract being executed. This information is taken from the PIO/T and also includes elements of the contract or grant which require special emphasis. The second section is referred to as the General Provisions. The General Provisions contain information which must be communicated to the contractor or grantee for all contracts or grants awarded by the Agency. They are lengthy (20-25 pages) and refer to Federal laws, rules, and regulations, and to various Agency requirements which govern contracts or grants. At present, the General Provisions for contracts stipulate that the AID Reference Center (DS/DIU) must receive copies of all substantive reports produced under the contract. The passage which makes reference to the AID Reference Center is as follows:

EXHIBIT II

CONTRACT ADMINISTRATION PROCESS



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"(d) Contractor shall submit two copies of each report dealing with technical matters (e.g., progress and final reports) prepared pursuant to this clause, or a clause of the Schedule of this contract to the AID Reference Center, Agency for International Development, Washington, D.C. 20523. The title page of all reports forwarded to the AID Reference Center pursuant to this paragraph (d) shall include the contract number, project number, and project title as set forth in the schedule of this contract."

Unfortunately, the reference to the AID Reference Center (DS/DIU) is sandwiched between numerous other General Provisions and, therefore, may pass unnoticed by the contractor. Based upon discussions with representatives of the CM staff and the General Counsel's Office, it is possible to include in the General Provisions and Schedule of both contracts and grants, a requirement for the contractor or grantee to send DS/DIU the appropriate number of copies of substantive materials generated. At present, references to DS/DIU are included in the Contracts Schedule only if they are requested in the PIO/T. In some cases, even though the PIO/T might indicate this requirement, the Contract Office might assume that coverage under the General Provisions is sufficient. In other cases, references to DS/DIU are included in the Contract Schedule without being referenced in the PIO/T, but this depends primarily upon the individual Contract Officer. References to DS/DIU, however, are not included routinely in the Grant Schedule nor are they contained in the Grant General Provisions.

Annually, the Office of Contract Management publishes a document entitled, Current Technical Service Contracts and Grants. This document lists all active contracts and grants for each year, indicating:

- Brief Description of Contract or Grant
- Contractor or Grantee's Name and Address
- Contract or Grant Number
- U.S. Dollars Obligated
- Contract or Grant Term

The information contained in the Current Technical Service Contracts and Grants Report is entered also into a computer system to which DS/DIU has access. Through this system, contracts or grants for which DS/DIU lacks information can be identified. The Office of Contract Management has special significance for DS/DIU primarily because it can be instrumental in establishing an effective mechanism to enable DS/DIU to acquire identifying information.

If more substantive information is required, the Office of Contract Management may not be the best source because it does not routinely receive copies of substantive reports. For practical purposes, monitoring of the contractor or grantee's ongoing performance is a shared responsibility of the technical offices and the Contract Office. In most cases, the Project manager is the primary recipient of all products of the contract or grant rather than the Contract Officer. The Project Manager informs the Contract Officer when reports have or have not been received. Distribution of these materials is, in almost all cases, the responsibility of the Project Manager, not the Contract Officer. Furthermore, though copies of reports occasionally may be sent to the Contract Office, they are not routinely stored or filed there for future reference. Finally, the Contract Officer is able to identify the final reports or perhaps major interim reports, but in most cases, is unaware of any other materials received by the Project Manager. Therefore, the Project Managers appear to be the most appropriate contact point for this information unless it is provided to DS/DIU directly by the contractor or grantee.

Mission-approved contracts or grants are governed by the same General Provisions and Schedule requirements as used in AID/W. Substantive products, however, usually either remain at the Mission or are sent to an appropriate AID/W Bureau, where they are distributed in the same way as all other technical reports.

CHAPTER IV

ALTERNATIVE ACQUISITION STRATEGIES

IV. ALTERNATIVE ACQUISITION STRATEGIES

Given the need for an effective institutional memory, the critical role of information acquisition, and the sources and flow of information within AID, the present acquisition system employed by DS/DIU is not as effective as it could be. Therefore, we have considered and analyzed three alternative strategies for acquiring AID generated information necessary to DIU's institutional memory role.

1. OVERVIEW

As pointed out in Chapter II, the same factors that limit the effectiveness of an institutional memory, impact the effectiveness of an acquisition system. Thus, any of the proposed alternative acquisition strategies will be limited by:

- The extent of top-level support provided
- The cooperation provided to DS/DIU by Agency personnel
- The perceived need by AID personnel for the services of DS/DIU and the support of the institutional memory concept
- The availability of resources, both to operate DS/DIU directly and to support DS/DIU's information needs
- The scope of DIU's collection

In our view, the single most important long-range solution to an effective institutional memory is to educate the Agency as to the value of information as a tool for international development. DS/DIU provides an information service. If Agency personnel do not perceive the value of that service, they will undervalue the need for DS/DIU and the need for cooperating with DS/DIU. In consequence, DS/DIU will be limited in fulfilling effectively its role as the AID institutional memory.

Although we recognize that this solution goes beyond DS/DIU's responsibilities, we are convinced that this issue is essential to an effective acquisition system and should be stated at the outset. For any of the following alternative acquisition strategies to be effective in the long-run, the Agency must commit itself to a program which stresses the value of information, the value of learning from and using past experience, and the value of DS/DIU in that program.

2. ALTERNATIVE 1: PASSIVE STRATEGY

A passive acquisition strategy relies primarily on the sources of information to provide the documents with little or no active "acquisition" by DS/DIU. To work effectively, it would require substantial top level Agency support in the form of clear written directives to provide DS/DIU with information, periodic reminders of the importance of providing information to DS/DIU, and sanctions to enforce the system.

The first step in implementing a passive system would be to issue a directive from the administration which would:

- State the Agency's policy that AID needs an institutional memory
- Discuss the Agency's support for and use of an institutional memory
- Restate the designation of DS/DIU as AID's institutional memory
- Require Agency personnel to cooperate with DS/DIU in fulfilling its role
- Present, as an attachment, a revised Handbook 18 which would include:
 - Descriptions of the types of information that DS/DIU will collect and maintain, with examples
 - Identification of offices responsible for sending information to DS/DIU
 - Sanctions which will be imposed if DS/DIU does not receive information

The second step that should be taken to implement this process is a program of periodic reminders (e.g., annually) to Agency personnel that DS/DIU is an Agency resource that commands high level support, and that cooperation is required. These reminders will be necessary to ensure that DS/DIU is not forgotten and to reinforce vigorous high level support.

The third aspect of a passive acquisition system is to implement sanctions to enforce Agency policy. Sanctions could take any of the following forms:

- Periodic (e.g., quarterly or annually) reports from DS/DIU to Bureau and/or Office Directors detailing the extent of compliance with DS/DIU (in terms of supplying the necessary information)
- Periodic letters from the Administrator citing Bureaus and/or Offices which are in substantial non-compliance (e.g., forward to DS/DIU less than 50 percent of all documents generated)
- Denying DS/DIU services to Bureau and or Offices which are in (an available but possibly self-defeating tactic) substantial non-compliance
- Denying other AID support services (e.g., printing) to Bureaus and/or Offices which are in substantial non-compliance

(1) Advantages Of The Passive Strategy

One advantage of the passive strategy is that it would require a minimum level of resources within DS/DIU to implement. DS/DIU need not establish an elaborate acquisition system with substantial staff because, under the passive strategy, acquisition becomes the responsibility of information generating offices, not DS/DIU. Under this strategy, all AID personnel would be held responsible for ensuring that DS/DIU acquires the information it needs to fulfill its role as AID's institutional memory. Another advantage is that it would be relatively easy to implement. Since the need for elaborate acquisition mechanisms is obviated, the passive strategy could be implemented immediately.

The passive strategy further eliminates the need to obtain information actively from numerous sources. As pointed out in Chapter III, certain kinds of information are not collected and maintained centrally in the Bureaus. Therefore, to acquire this information actively would necessitate contacting many individuals within the Bureaus and offices. The passive strategy, by placing acquisition responsibility on the generators of information, obviates the need for DS/DIU to initiate contact with them.

A fourth advantage of the passive strategy is that it places the least strain on AID operations. Although it will place some new demands on the Bureaus and Offices (especially those that do not now send information to DS/DIU), they will have maximum discretion in the methods

they employ to comply with DS/DIU's information needs. Therefore, each Bureau and office will establish compliance mechanisms which will least disrupt the ways they now operate.

(2) Disadvantages Of The Passive Strategy

One major disadvantage of the passive strategy is that it would require the active and continuing support and participation of AID top management. Though some high-level participation is essential to all alternative strategies, the amount of active participation required to implement effectively the passive strategy, with sanctions, may be unrealistic to expect.

The passive strategy will probably be less effective than other alternatives. First, we have identified considerable reluctance to cooperate with DS/DIU in a few offices. Even with sanctions, this reluctance probably will continue and will result in only marginal increases in cooperation with DS/DIU.

Elements of the passive strategy could also result either in active non-compliance or over-compliance. If the combination of high-level directives and potential sanctions are perceived as "coercion," Agency personnel might tend to withhold information, selectively provide some information but not other (e.g., provide DS/DIU with an interim but not a final research report) or flooding DS/DIU with reams of irrelevant information (e.g., all cables and other correspondence on a project).

Finally, even though sanctions are needed to enforce the passive strategy, they may, in fact, be ineffective. For example, the denial of DS/DIU services to an office which already does not use DS/DIU will have little or no effect. Similarly, reports to Bureaus or office administrators will have little effect if those administrators themselves do not perceive the value of DS/DIU.

3. ALTERNATIVE 2: ACTIVE STRATEGY

In contrast with Alternative 1, DS/DIU could pursue an active acquisition strategy. Under this strategy, primary responsibility for acquisition rests with DS/DIU, which must gather information actively from the varied sources in the Agency.

The first step in this strategy would be to establish formal contacts with offices throughout AID. These would include the centralized offices (e.g., Africa/DR and DS/Program Office) which maintain certain kinds of information (e.g., design and

evaluative information), and the decentralized offices (e.g., the Project Managers) that maintain other kinds of information (e.g., technical reports). The purposes of these formal contacts would be to identify initially the appropriate contact points within each Bureau from which information can and should be obtained on a continuing basis.

The second step in this strategy would be to plan and implement periodic contacts with each of these offices to obtain new information. For example, the DS Program Office might be contacted monthly. During each contact, information received (or generated) by DS/PO within the intervening month would be acquired.

One variation on this system, or as an adjunct to it, would be a formal linkage with the contracting process. Much of AID's information is generated through contracts or grants with other organizations. As pointed out in the previous chapter, an existing general provision in all AID contracts is the requirement that DS/DIU receive copies of all reports prepared by the contractor. This provision could be enforced by giving DS/DIU authority to delay final payment on a contract if the contractor does not comply with this provision. Thus, final contract close-out documents would flow through DS/DIU for approval.

Another variation for an active acquisition strategy would be to execute "contracts" or memoranda of agreement with various AID Bureaus and offices. In return for providing information to DS/DIU, DS/DIU would agree to provide a certain level of service to the Bureaus or offices.

(1) Advantages Of The Active Strategy

One major advantage of the active acquisition strategy is that potentially it could be very effective. In contrast with the passive strategy, DS/DIU would control acquisition instead of relying on Agency personnel to remember DS/DIU in performing their regular functions. By being an active acquirer of information, DS/DIU would be more confident that it is receiving the documents that it needs to fulfill its role.

An active acquisition strategy also avoids the necessity for frequent and active top-level participation. Though significant top-level support would be needed to implement an active acquisition system (e.g., providing DS/DIU with the authority to delay a final contract payment), it would not require active participation that a passive system would (e.g., sending periodic reminder memoranda to Agency personnel). This level of support is probably more realistic.

(2) Disadvantages Of The Active Strategy

An active strategy also has many disadvantages. One is that it would be more expensive to implement than a passive strategy. Another disadvantage is that, in contrast with a passive strategy, it would be relatively difficult to implement. It would require continuous contact with Agency personnel and considerable effort in obtaining the authority to delay final contract payments. Also some time would be involved in establishing formal contacts with the sources of information and the acquisition system.

There is some question about the appropriateness of authority to delay payments if contracted reports were not received by DS/DIU. First, there is a difference of opinion among technical personnel in the Bureaus about the desirability of providing DS/DIU with this authority. Some do not expect that this authority would disrupt their operations or their relationships with contractors. To some individuals, in fact, this authority might be beneficial since it would relieve them of responsibility for enforcing this contract provision. Others, however, are very concerned about providing DS/DIU this authority. They are concerned that the close-out of a contract is already a needlessly lengthy process and oppose lengthening it further by requiring DS/DIU's approval. Some of these individuals can be expected to oppose giving DS/DIU a role in the contract close-out process.

Also, in our interviews with personnel in SER/CM, we encountered an opinion that the contract close-out process probably would not be an effective acquisition mechanism. They noted that close-out proceedings often take place many months after final reports have been submitted. In view of this, Contract Officers believe that the desired documents probably will have been distributed already, and that DS/DIU consequently would find it difficult to obtain them at that point.

Unlike the passive strategy, the active strategy could place considerable strain on Agency operating procedures. Active requests for information from DS/DIU inevitably will add to existing workloads in other Bureaus and offices. For example, a request for approved project papers generated by the Africa Bureau during the previous month might require an individual to take time from his/her regular duties to prepare and send copies of these PP's to DS/DIU, disrupting his/her normal routine.

4. ALTERNATIVE 3: MIXED STRATEGY

A mixed strategy attempts to combine the best features of active and passive strategies and concurrently to avoid the disadvantages of both. The mixed strategy alternative proposed here is essentially a passive strategy accompanied by an active information monitoring system.

The first step in the mixed strategy is the same as for the passive strategy--a directive would be issued from the Administrator or Deputy Administrator stating the Agency's support for an institutional memory, and directing cooperation with DS/DIU as that memory. This would be necessary to inform many Agency personnel (who otherwise are not conscious of DS/DIU) of the existence of DS/DIU, its functions, purposes and services; to reinforce top-level interest in an effective institutional memory (DS/DIU); and to place effective responsibility for providing information to DS/DIU on the Agency as a whole.

The second element of the mixed strategy draws from the active strategy. DS/DIU would have to invest a considerable amount of time establishing contacts with the primary sources of AID information. This investment is necessary to describe further DS/DIU's role, responsibilities, and needs; to elicit cooperation directly; and to identify appropriate contacts for future monitoring.

The third element in the mixed strategy is a monitoring system to ensure optimum completeness of DS/DIU's collection. The monitoring system, in turn, would have two components. The first would be a periodic comparison of lists of documents acquired against lists of documents generated to identify gaps in DS/DIU's collection. The second component of the monitoring system would be contact periodically the individual AID offices to acquire directly documents identified in the comparison as missing.

Another element that could be included in the mixed strategy is a change in contracting procedures. The lengthy, standardized General Provisions often are not studied closely and ultimately are ignored. To ensure that contractors are aware of the responsibility to forward documents to DS/DIU, the Schedule, which is unique to each contract, should either restate the requirement or, at least, refer the reader's attention to the GP clause. The Schedule, typically the most project-specific section of a contract, will be read. Explicit requirements to provide DS/DIU with 3 copies of a report would ensure that the contractor and the AID Project Officer are well aware of this responsibility.

(1) Advantages Of The Mixed Strategy

One advantage of the mixed strategy is that, like the passive strategy, it would rely heavily on information generators to provide DS/DIU with information. But rather than sanctions to enforce this responsibility, the mixed strategy would rely on an active monitoring system to ensure that DS/DIU has as complete a collection as possible.

The monitoring system, unlike the active acquisition strategy, would be selective rather than all-inclusive. It would focus only on information that was not passively acquired and would be as specific as possible as to information being collected (e.g., specify the particular documents that are missing). In this way, one disadvantage associated with an active strategy would be minimized--substantial strain on Agency operations.

One of the major disadvantages of the passive strategy, significant high-level participation, also would be obviated in the mixed strategy. Although the mixed strategy would require some top management support and participation, the level of that participation would be minimized by relying on the monitoring system.

Another advantage of the mixed strategy is that it would avoid many of the problems associated with direct ties to the contract system. The mixed strategy would not include a direct role for DS/DIU in the contract close-out process and therefore, would avoid the problems in implementing that procedure. The mixed strategy would recognize, however, the value of the contract system to an effective acquisition system.

(2) Disadvantages Of The Mixed Strategy

Because the mixed strategy would fall between the other two alternatives, it probably would not be as effective as the active strategy. Its actual effectiveness would be determined, however, by how effective its active elements are. If a monitoring system was not implemented or was not very effective, the mixed strategy might tend to be more passive and, therefore, less effective. In this case, in fact, the mixed strategy might be even less effective than the passive strategy because it would not contain the sanctions and continuous high-level participation that would make the passive strategy as effective as it could be. If the monitoring system was implemented and was successful, however, the mixed strategy's effectiveness could approach that of the active strategy.

The mixed strategy also would draw a middle line between the active and passive strategies in terms of cost. It would not be as inexpensive to implement as the passive strategy nor would it be as expensive as the active strategy. The mixed strategy would require an investment to implement the monitoring system successfully and an ongoing expense in operating it.

5. CONCLUSION

All things considered, we recommend the mixed strategy as offering DS/DIU the most effective acquisition system at the least cost in terms of both resources and disruptions and AID operating procedures. In the next chapter of this report we discuss our reasons for choosing this strategy and present, in more detail, the steps required to implement it.

CHAPTER V
RECOMMENDATIONS

V. RECOMMENDATIONS

We recommend that DS/DIU select the mixed strategy approach for information acquisition. Though DS/DIU is currently utilizing some of the methods recommended under the mixed strategy, DS/DIU's approach to information acquisition is non-systematic, highly informal, and therefore not as effective as it could be. The mixed strategy builds upon some of the procedures and practices currently in place in DS/DIU, however, under the mixed strategy they have been modified and expanded and placed within a formal information acquisition system.

1. REASONS FOR SELECTION OF THE MIXED STRATEGY

The mixed strategy can provide DS/DIU with an effective mechanism for obtaining a maximum amount of information with a reasonable amount of effort and resources. As indicated in the previous chapter, the mixed strategy combines the optimal elements of the active and passive strategies and minimizes the disadvantages of each.

The mixed strategy requires that DS/DIU receive top management support in the Agency to ensure the cooperation of all Agency personnel and the commitment of necessary resources. As expressed throughout this report, a lack of support and cooperation from all Agency personnel will impact upon DS/DIU's ability to carry out its responsibilities. Each of the strategies posed in Chapter IV require some top-level support for DS/DIU's activities, but the mixed strategy minimizes the direct involvement of the Administrator's Office and requires only that directives be issued to reinforce the need for an institutional memory and the role of DS/DIU in the Agency. We believe that this level of participation can be expected realistically and should not be difficult to implement.

The success of the mixed strategy hinges on the effectiveness of the proposed monitoring system. We believe that a monitoring system, if effective, is superior to either sanctions (as proposed in the passive strategy) or active acquisition of all information. Potentially, it can be more effective than sanctions and is selective, thus minimizing disruptions in Agency operations that could attend an active strategy.

The mixed strategy also requires changes in the contract and grant mechanisms to ensure that DS/DIU receives the required number of copies of technical reports and research materials generated under contracts and grants. As Chapter III indicates, this information is not routinely sent to DS/DIU, nor is it currently maintained centrally in the Agency. Based on discussions with personnel in SER/CM and the Office of General

Counsel, we conclude that the changes in contract and grant documents associated with the mixed strategy (as outlined in Chapter IV) will be more effective than no changes, but less difficult to implement than the more drastic changes required for an active strategy. Finally, the mixed strategy reflects a middle-ground approach in terms of cost. The primary investment will lie in the full-time support of the individuals responsible for document collection and monitoring. This cost may not represent an additional expenditure for DS/DIU, however, if current staff members can be assigned this responsibility.

2. IMPLEMENTATION OF THE MIXED STRATEGY

To implement the recommended mixed strategy, these activities must be performed:

- Rewrite selected sections of Handbooks 18 and 3
- Implement changes in contract and grant procedures
- Prepare and issue a directive from the Administrator of the Agency
- Identify appropriate contact points in each of the Bureaus responsible for providing information to DS/DIU
- Implement the Monitoring System

(1) Rewrite Selected Sections Of Handbooks 18 And 3

The series of Handbooks produced by AID contains detailed descriptions of the policies and procedures which govern all AID activities. Handbook 18, Part IV: "Information Sources in AID" identifies the various sources of information and the information services available in both AID and in the State Department. This section of Handbook 18 already is substantially out of date and does not reflect the full range of services currently provided by DS/DIU. Although our recommended changes to Handbook 18 focus only upon the acquisition system proposed, a full revision of this chapter is suggested. The full text of the recommended revisions to Handbook 18 can be found in Appendix B. The revisions include:

- Description of DS/DIU's Role
- List of Information Services Provided
- Revision of AID (DS/DIU) Collection Criteria

- Elements of the Mixed Strategy
 - Accessions lists
 - Periodic contacts initiated by DS/DIU personnel

Handbook 3, Project Assistance, contains the procedures and policies of the Agency regarding the development of projects and programs. It includes some general sections which outline the process of problem identification and also the steps involved in the creation and distribution of the various required documents (i.e., PID, PP, ProAg, etc.). There are many sections of this Handbook which could include references to DS/DIU, in terms of both the services provided to project designers and the information which DS/DIU is required to collect. A bibliographic listing of the sections which might be changed is contained in Exhibit III, following this page. We believe that explicit reference to DS/DIU in these sections would heighten the awareness of Agency personnel to the role and functions of DS/DIU and the assistance DS/DIU can provide project designers in performing their duties effectively.

(2) Implement Changes In Contract And Grant Documents

SER/CM is presently initiating an internal review of contract documents. The results of this review will include changes in Schedule preparation, in the General provisions accompanying all contracts, and in the contracting procedures. We recommend that DS/DIU contact SER/CM as soon as possible to explore contract mechanisms to ensure that DS/DIU receives the required number of copies of contractor and grantee reports while this internal review is proceeding.

Our discussions with SER/CM lead us to believe that a change in the preparation of contract and grant Schedules to make specific reference to the DS/DIU reporting requirement would be considered favorably. We recommend that this change be evaluated together with others that may arise in discussions between DS/DIU and SER/CM.

(3) Prepare And Issue A Directive From The Administrator

As mentioned in the previous section, the mixed strategy would benefit from an Agency-wide directive from the Administrator emphasizing the need for an institutional

EXHIBIT III

SECTIONS OF HANDBOOK 3
WHERE REFERENCE TO
DS/DIU MIGHT BE INCLUDED

Project Assistance, Part I - "Analysis and Authorization of AID-Assisted Projects."

Chapter 3--Preliminary Considerations in Project Formulation

Pg. 3-2 C(1): "Source of Ideas"

Pg. 3-5 3D: "General AID Project Policies"

Chapter 4--Project Identification: The Project Identification Document (PID)

Pg. 4a-9: "Previous Project Design and Execution"

Chapter 6--Special Project Activities: Exceptions to General Project System

Pg. 6A-1 A(4): "Early Consultation"

Pg. 6A-2 B: "The Operational Grant Proposal"

Pg. 6A-3 E: "Reporting and Consultation on Progress"

Pg. 6A-5 Attachment A: "Suggested PVO Contacts, Bureau For
Development Support"

Chapter 9--Project Agreement

Pg. 2, Section B 5(a): "Reports, Records, Inspections, Audit"

The sections which already include references to DS/DIU may also require some revision or additions:

Chapter 3--Preliminary Considerations In Project Formulation

Pg. 3B Appendix 3B: "Criteria For Selecting Among Alternatives"

Chapter 7--Drafting and Review of PID's, PP's, and Authorizations

Pg. 7-9 8(b): "Notification and Filing of Approved Project Papers"

memory and reinforcing the role of DS/DIU. A draft directive is presented in Exhibit IV, following this page.

(4) Identify Offices In Each Of The Bureaus Which Have Responsibility For Providing Information To DS/DIU

Another step in the implementation of the mixed strategy requires that DS/DIU establish formal contacts with each of the sources of information identified in Exhibit I.

Initial contacts should be made at both the Bureau and Office Director levels to explain the role and services of DS/DIU and to define the specific kinds of information solicited. In addition, DS/DIU should seek agreement on the method by which information will be acquired from their particular Office or Bureau.

As this discussion develops, the Office Directors should identify for DS/DIU the individual or unit responsible for transmitting information to DS/DIU. The interview list presented in Chapter I can be used to augment the offices listed in Exhibit I. Many of those interviewed have direct responsibility for control of the office or Bureau project files--however, it is suggested that DS/DIU pursue a more formal channel of contact (i.e., through the Director's Office), first, to ensure that internal support is present and that all of the appropriate individuals/units have been identified to the Director's satisfaction and have been assigned this official responsibility.

(5) Implement A Monitoring System

The acquisition monitoring system is the final element of the mixed strategy. In our view, this is the key to the success of the proposed strategy. The mechanisms which constitute the monitoring system are:

- Obtaining reports or lists when available which directly identify documents or reports received and newly approved projects or programs for which documents should have been received
- Working with other offices to develop such lists where they do not exist currently
- Comparing DS/DIU's collection periodically with the above lists to identify information missing from DS/DIU's collection

EXHIBIT IV
DRAFT DIRECTIVE

DATE: 1/25/80

UNITED STATES GOVERNMENT
MEMORANDUM

REPLY TO
ATTENTION OF: The Office of the Administrator
SUBJECT: Information Management
TO: All Personnel

The Agency is committed to the development of an institutional memory which will record the full-range of AID's experience in development assistance activities. This information is vital to the Agency to ensure that developing countries receive the full benefit of the knowledge and experience acquired by the Agency in all of the technical specialties and geographic areas of the world.

The Office of Development Information and Utilization, Development Support Bureau (DS/DIU), has been designated as the official "institutional memory unit" of the Agency. In this regard, DS/DIU must receive from each of the Bureaus, Offices, and Missions, copies of all documents or reports which reflect research findings and the planning, implementation, and evaluation of AID projects and programs. This information will be entered into the permanent memory bank of the Agency and subsequently will be made available to all AID personnel and other potential users upon request.

You are urged to cooperate fully with DS/DIU and assist it in carrying out its assigned responsibilities. Attached is a copy of Handbook 18, Information Services, Part IV: "Information Sources in AID." This Handbook has just been revised. Please read this thoroughly and insert it in the appropriate place in Handbook 18.

- Obtaining missing information directly from the source
- Inventorying DS/DIU's collection annually and comparing it with an annual inventory of collection in the individual Bureaus and Offices

Through these mechanisms, effectively implemented, DS/DIU's acquisition of AID-generated information can be improved significantly.

Implementation of the monitoring system will involve the five tasks described below.

Task 1--Identify Lists Of Documents Relating To Approved Projects And Programs

Many of the Bureaus or offices prepare periodic reports or lists from which DS/DIU could identify information that has been produced by AID. Exhibit V, following this page, identifies currently available reports or lists discovered in the course of this project.

Some of these reports (e.g., LAC Bureau list of evaluations) directly identify the information that DS/DIU should be receiving. Other reports (e.g., NE Bureau's Status of Program/Project Assistance Implementation) refer to the AID activity or project as a whole without specific reference to individual documents.

Some of the lists described in Exhibit V cover a broad range of AID activities and are not specific to any single Bureau (e.g., the Current Technical Service Contracts and Grants Report produced by SER/CM). Other lists, however, are very specific such as the ones produced by the DS Bureau, Population Research Division. It is possible that there are other lists available in AID but not identified during this project. DS/DIU should consider recommending to offices which lack similar reports that they be developed.

Task 2--Select Lists Which DS/DIU Will Use

From the lists identified in Task 1, DS/DIU should select the reports which would be most useful to DS/DIU in identifying information which was not acquired. These reports should be selected on the basis of:

- Comprehensiveness
- Completeness
- Ease of Use and Acquisition
- Content

EXHIBIT V(1)

LISTS PREPARED BY AID BUREAUS AND OFFICES
THAT MAY BE USEFUL TO DS/DIU'S
ACQUISITION STRATEGY

Latin America Bureau

Source

- | | |
|--|--|
| 1. Listing of all OPG's per quarter. Contains brief description; category; and amount expended. | Office of Development Programs/PVO Liaison Office |
| 2. Listing of all evaluations received per quarter. Listing for FY 79 and 1st quarter FY 80 currently available. | Office of Development Programs/Policy Planning and Evaluation Division |

Near East Bureau

- | | |
|---|--|
| 1. <u>Status of Program/Project Assistance Implementation</u> ; lists all on-going activities; published quarterly. | Office of Project Development |
| 2. <u>Status of Program/Project Development Approved by Fiscal Year.</u> | Office of Project Development |
| 3. All documents received (program/project related) are listed as they arrive. | Office of Project Development/Project Development Support Division |

Africa Bureau

- | | |
|---|--|
| 1. <u>PID Status Report</u> produced | Office of Development Planning |
| 2. <u>Monthly Project Status Report</u> produced. | Office of Development Resources |
| 3. Evaluation Accessions List, published quarterly. | Office of Development Planning/Policy Planning Evaluation & Economic Analysis Division |

<u>Asia Bureau</u>	<u>Source</u>
1. They are planning to produce lists of evaluations received and due for submission, however, they are currently not able to do this.	Office of Development Planning/Evaluation
<u>Development Support Bureau</u>	
1. The DS Bureau Program Office does not publish any lists or reports of design documentation or evaluations received.	
2. The Office of Population/Research Division produces two major activity reports; <u>Biomedical Research Projects and Operations Research Projects.</u>	
<u>Office of Contract Management</u>	
1. <u>The Current Technical Service Contracts and Grants Report</u> is published annually. It contains the contract number, title, geographic area, term, funding, brief description of purpose and the contractor's address.	Office of Contract Management
<u>Office of Management Operations</u>	
1. PEAR list of all projects.	Office of Management Operations

From the work performed in this project, we believe the PBAR file of active projects and the Current Technical Service Contracts and Grants Report would be especially useful. Other useful reports include:

- LAC Bureau's list of evaluations received
- NE Bureau's Status of Program/Project Assistance Implementation
- Africa Bureau's Monthly Project Status Report

Task 3--Monthly, Compare DS/DIU's Acquisitions With Lists

On a monthly basis, DS/DIU should compare its collection with the lists chosen in Task 2. For lists of documents, DS/DIU can compare its acquisitions directly with documents actually produced by the Bureaus. For status reports or other lists of activities, however, DS/DIU will need to employ another technique. A comparison of two consecutive activity reports from the same office will identify newly approved projects or activities. DS/DIU then should ascertain if it has received any information (e.g., design documents, implementation orders) on these activities. If DS/DIU has not received any information, it can query the source to acquire the information. If DS/DIU has received some information on the new activity, it should contact the source nevertheless to determine if it has collected all the information produced on that activity.

Task 4--Acquire Missing Information

In this task, the information identified as missing from DS/DIU's collection should be acquired by contacting the Bureaus and offices that generate or maintain it.

Task 5--Conduct An Annual Inventory

The purpose of this task is to provide final assurance that DS/DIU's collection is as complete as possible.

Annually, DS/DIU should inventory the information generated by each AID Bureau or office during the year. This inventory can be spread over the year such that only one or two Bureaus or Offices are inventoried each month but every Bureau is inventoried at least once during the year. Exhibit VI, following this page, presents a suggested schedule for this task.

EXHIBIT VI

SUGGESTED INFORMATION
INVENTORY SCHEDULE

January	Africa Bureau
February	Africa Bureau/Regional Affairs
March	Asia Bureau
April	Near East Bureau
May	Latin America Bureau
June	DS/Program Office
July	DS/Other Technical Offices
August	PDC/Office of Private and Voluntary Organizations
September	PDC/Food For Peace
October	PDC/Office of U.S. Foreign Disaster Assistance
November	PPC/Office of Women in Development
December	Other Offices

3. CONSTRAINTS AND LIMITATIONS

We believe that the mixed strategy implemented as described above will result in DS/DIU becoming a reliable and comprehensive AID institutional memory. This strategy is not without its limitations, however, first the strategy will not necessarily enable DS/DIU to acquire all of the Mission-sponsored or -produced materials. Though the documentation which flows to AID/W can be obtained through regular Bureau channels (and therefore, through the proposed system) information not reported to AID/W may remain at the Mission level. Although it is possible that a system could be devised to resolve this specific issue, the scope of this contract did not permit us to explore the needs and operations of the Missions to the extent necessary to address this issue in detail.

Further, although the use of the monitoring system would enable DS/DIU to keep its collection current, a separate and probably substantial investment of time and resources would be required to bring DS/DIU's existing collection to completeness. Thus it may be as much as three to four years before the DS/DIU reaches a level of completeness commensurate with its full mission.

Finally, to reiterate a point made repeatedly in this report, the success of this or any acquisition system will vary directly with the level of voluntary cooperation achieved throughout the Agency, based on a deep-seated appreciation of the value of information to the development process.

5

APPENDIX A
AID INTERVIEW LIST

AID INTERVIEW LIST

● Bureau for Development Support

Office of Agriculture

Dr. Dean Peterson, Director

Mr. Floyd Williams, Associate Director,
Research (Acting)

Office of Education

Dr. David M. Sprague, Deputy Director

Office of Engineering

Mr. Alden Van Buskirk, General Engineer

Office of Health

Dr. Clifford Pease, Deputy Director

Mrs. Jean Pease, Public Health Analyst

Office of Development Information and
Utilization

Ms. Lida Allen, Director

Mr. Maury Brown, Deputy Director

Mr. Lee White, Information Specialist

Ms. Edna Falbo, Special Assistant for
Acquisitions

Ms. Chris Wolters, Technical Information
Specialist

Mr. David Donovan, Assistant Chief, Information
Division

Ms. Ellen Boissevain, Reference Librarian

Ms. Susan Weintraub, Librarian

Ms. Natalie Thompson, Technical Information
Specialist, Acquisitions

Ms. Asta Teemant, Technical Information
Specialist, Document Processing

Mr. Garland Standrod, Technical Information
Specialist, ARDA

Office of Housing

Mr. Philip Gary, Program and Evaluation Officer

Office of International Training

Mr. William Elsen, Chief, Participant
Relations Branch

Mr. John Lippman, Assistant Director for Resources
Support Division

Office of Population

Dr. Joseph Speidel, Director

Dr. Duff Gillespie, Chief, Research Division

Dr. R. T. Ravenholt, Chief, Training Division

Mr. Griffith Davis, Acting Chief, Information
Division

Mr. Wesley Milligan, Program Coordinator

Program Office

Mr. Kenneth Milow, Chief, Program Division

Ms. Pat Brown, Program Operation Assistant

Mr. Johnnie Holt, Program Analyst

Mr. Francis Campbell, Evaluation Officer

Office of Science and Technology

Mr. William Eilers, AID Coordinator for UNCSTD

Office of Urban Development

Mr. William R. Miner, Director

- Bureau for Program and Management Services
 - Office of Management Operations
 - Mr. Roger M. Mieras, Chief, Publications and Audio-Visual Arts Division
 - Mr. Stanley Holladay, Chief, Communications and Records Management Division
 - Mr. Andrae M. Teague, Assistant Chief, Communications and Records Management
 - Office of Contract Management
 - Mr. Morton Darwin, Chief, Agriculture and Nutrition Branch
 - Mr. Michael Kelly, Contract Specialist
 - Mr. James D. Murphy, Chief, Field Support and Review Branch
 - Mr. Peter Howley, Chief, Asia Branch
 - Ms. Jan Pelligrino, Chief, Support Services Division
- Bureau for Private and Development Cooperation
 - Office of Food for Peace
 - Mr. Willard Pearson, Chief, Program Operations Division
 - Office of Program and Management Support
 - Mr. Jimmy O. Philpott, Director
 - Office of U.S. Foreign Disaster Assistance
 - Mr. William R. Dalton, Assistant Director for Planning and Preparedness
 - Mr. Fred N. Cole, Management Analyst
 - Ms. Lucy Drobot, Contractor, Evaluation Technologies Incorporated
 - Office of Private and Voluntary Cooperation
 - Mr. Austin Heyman, Deputy Director

- Bureau for Program Policy and Coordination

- Office of Evaluation

- Mr. Robert Berg, Associate Assistant Administrator

- Ms. Nena Vreeland, Program Analyst

- Office of Planning and Budgeting

- Mr. Robert Simpson, Associate Assistant Administrator

- Office of Policy Development and Program Review

- Mr. Barry Sidman, Associate Assistant Administrator

- Ms. Ann Van Dusen, Acting Chief, Human Resources Division

- Office of Women In Development

- Ms. Arvonne Fraser, Coordinator

- Bureau For Africa

- Office of Development Planning

- Mr. Frank Dimond, Deputy Evaluation Officer

- Ms. Mary Brent, Evaluation Assistant

- Mr. Glen Cauvin, Program Analyst

- Office of Southern Africa Affairs

- Dr. David Cohen, Assistant Director for Planning

- Office of Development Resources

- Mr. Norman Cohen, Deputy Director for Projects

- Mr. Lawrence Heilman, Deputy Director for Technical Operations

- Office of Regional Affairs

- Mr. Jay Ruoff, Deputy Director

Office of Sahel and Francophone West Africa

Ms. Marietta Plank, Librarian

Ms. Kay Rader, Librarian

● Bureau for Asia

Office of Development Planning

Mr. Robert Halligan, Director

Ms. Gail Heston, Program Analyst/Research
and Evaluation

Office of Project Development

Mr. James Osborne, Project Development Officer

Office of Technical Resources

Mr. Steven Sinding, Chief, Health, Population,
Nutrition Division

● Bureau For Near East

Office of Development Planning

Ms. Joan Silver, Chief, Project Analysis
and Evaluation

Mr. Peter Sellar, Chief, Program Division

Office of Technical Support

Mr. Charles Weinberg, Director

Ms. Ann Gooch, PVO Coordinator, Sector
Planning and Rural Development Division

Office of Project Development

Mr. Robert Bell, Deputy Director

Mr. David Mandel, Chief, Project Development
Support Division

Office of Jordan, Lebanon and Syria Affairs

Mr. Blaine Richardson, Director

Mr. Jerry Gower, Egypt Desk Officer

Mr. Ronald Witherell, Jordan Desk Officer

Mr. Kurt Teil, Syria Desk Officer

- Bureau for Latin America and the Carribean

 - Office of Development Programs

 - Mr. David Erbe, Chief Program Division

 - Ms. Bernice Goldstein, Chief, Evaluations Division

 - Office of Development Resources

 - Mr. Irwin Levy, Deputy Director

 - Mr. Richard Martin, Education Specialist

- Other Offices

 - Office of the General Counsel

 - Mr. Jan Miller, Assistant General Counsel for Employee and Public Affairs

- Non-AID Interviews

 - State Department Library

 - Mr. Conrad Eaton, Librarian

 - Foreign Document and Reference Center

 - Mr. William Parks, Chief, Document Analysis and Processing Division

 - World Bank

 - Mr. Donald Bloomfield, Chief, Document Acquisition and Control Section

 - National Technical Information Service

 - Mr. David Shonyo, Foreign Affairs Officer, Asia, Africa, and Near East

- Smithsonian Science Information Exchange

 - Ms. Olymphina Merritt, Data Processing/ Information Acquisitions

APPENDIX B
RECOMMENDED CHANGES IN
AID HANDBOOK 18

This Appendix presents our recommended changes in AID Handbook 18, Information Services, Part IV: "Information Sources in AID," to reflect a new acquisition strategy. Sections of Handbook 18 which we recommend be deleted are indicated by brackets ([]) while additions are indicated by underlining.

CHAPTER 2

SERVICES OF [THE AID REFERENCE CENTER] THE OFFICE
OF DEVELOPMENT INFORMATION AND UTILIZATION
DEVELOPMENT SUPPORT BUREAU, (DS/DIU)

This chapter describes the resources and services provided to the Agency by DS/DIU [the AID Reference Center (ARC)], the criteria for the selection and cataloging of documents by [ARC], DS/DIU and the relationship of [ARC] DS/DIU to AID/W and overseas offices which distribute documents or maintain a collection of documents.

2A. Purpose

The Office of Development Information and Utilization, (DS/DIU) provides a full range of library and information services to AID. DS/DIU has been designated the "institutional memory" of AID and, therefore, is required to collect a wide range of information produced by the Agency. This information is retained indefinitely by DS/DIU and can be used by AID personnel in the design, implementation and evaluation of future AID-funded or -sponsored activities. The kind of information collected by DS/DIU is described in Section 2D (1). DS/DIU provides the following services to AID:

- Bibliographic Searches
- etc.
- etc.

2B. Policy

[The AID Reference Center in the Office of Development Information (PPC/DI)] DS/DIU is AID's central reference facility for all AID-generated documents that reflect research findings and the planning, design, implementation, and evaluation of AID projects and programs. DS/DIU [ARC] collects only copies of record materials; therefore, its holdings are not subject to retirement or planned destruction and are held as long as determined useful for reference purposes. Other more specialized reference facilities may exist throughout the Agency; however, copies of all AID-generated documents that meet DS/DIU [ARC] collection criteria (2D1) must also be held in [the AID Reference Center] DS/DIU.

2C. Definitions

1. AID-Generated Document - Staff paper, operating document, report, or publication prepared by an AID direct-hire employee, other Agency personnel serving under a participating Agency Service Agreement (PASA), contract or RSSA personnel, and persons or groups of persons whose work is financed by AID.
2. AID Memory Document - An AID-generated document meeting the [ARC] DS/DIU collection criteria in 2D1.
3. Information Resource Unit - an informal term used to describe various organizational units in AID/W and public and private organizations affiliated with AID/W offices that make initial distribution of documents and maintain a supply of copies to make secondary distribution as required. Many of the units are listed in Chapter IV.
4. Mission Reference Center - an informal term used to describe a unit in an overseas office that acquires, maintains, and makes available documents for the use of personnel working within a Mission.

2D. [ARC] DS/DIU Collection Criteria

1. [The ARC] DS/DIU collects and holds [primarily AID-generated] documents that record and evaluate the Agency's experience in providing development assistance.

The documents collected may be produced by either AID direct-hire personnel or under contract or grant to AID.

[It] DS/DIU is guided by the following criteria in acquisition of both current and historical AID generated documents:

- a. Program/project evaluation documents and case studies; e.g., documents that describe experience, assess accomplishment, determine the cause of any failure, and discuss potential future applications relating to program/project assistance.
- b. Special studies and sector analyses; e.g., issue papers, policy and discussion papers, management studies and special analyses of development problems.
- c. Program planning documents; e.g., Annual Budget Submissions (ABS), Field Budget Submissions (FBS), Manpower and Operating Expenses Budget (MOB), Program Memoranda, and Country Data Strategy Statements (CDSS).

d. Project identification, design, implementation and evaluation documents; e.g., PID's, PP's, ProAg's, PIO/T's, PES's and PAR's.

e. Reports; e.g., feasibility studies, research reports, progress and terminal reports, and end-of-tour reports.

f. Reports requested by Congress.

2. [ARC] DS/DIU also includes in its collection documents developed by organizations external to AID and not supported by AID financing that specifically evaluate AID, its predecessor agencies, and their activities and experience.

3. [Documents listed in AID Bibliography Series that are not AID Memory Documents are also available in the ARC] DS/DIU [since they must be acquired initially during the preparation of the particular AID Bibliography.]

4. [ARC] DS/DIU collects such reference materials as bibliographies, catalogs, and directories as will facilitate the identification and location of development assistance documents maintained in reference centers of international organizations, other donor countries, and voluntary agencies.

2E. Requirements for Submission of AID Memory Documents [to ARC] to DS/DIU. [(See Attachment 2A)].

1(a). AID Bureaus, Offices, and Missions must submit three copies of all reports or documents meeting [ARC] DS/DIU collection criteria in 2D1, [except category 1c and d, to the AID Reference Center.] to DS/DIU. The reports or documents required for submission to DS/DIU will include those that are produced by direct-hire personnel as well as those received through the contract, grant, or PASA, process.

1(b). In addition to the three copies of reports or documents required for submission to DS/DIU, each Bureau Office and Mission will prepare a quarterly listing of all reports and documents recently produced. This list should be sent to DS/DIU "acquisition staff". DS/DIU will use these lists to assist in identification of gaps in the collection of information. DS/DIU will then contact the sponsoring Bureau, Office, or Mission to obtain missing information.

1(c). The three copies of reports submitted to DS/DIU must be clearly printed. Originals or first generation photocopies are preferred to ensure legibility and appropriateness for the microfiche process.

2. In order to facilitate collection of documents not prepared by AID, but under a contract, PASA, or grant:

a. AID/W offices originating contract policy and formulating or amending standard contract clauses are to insure that such contracts or standard clauses contain the requirements that three copies of all documents defined in 2D1a, b, d, and e, provided under the contract are sent to [ARC.] DS/DIU*.

b. AID/W offices drafting new or amending current PASA's between AID and other U.S. Government agencies are to insure that the PASA clearly requires the participating agency to provide three copies of all documents defined in 2D1a, b, d, and e to [ARC.*] DS/DIU*.

c. AID Bureaus, Offices, and Missions entering into an AID-financed agreement with another party are to require that the other party submit three copies of all documents defined in 2D1a, b, d, and e to [ARC.*] DS/DIU.

d. All AID program and project managers who monitor the performance of contracts and PASA's and the progress of grants and loans [are to review operations on at least a quarterly basis to determine if documents are being submitted as required to ARC.] will be contacted on a rotating basis by DS/DIU to obtain copies of the documents listed in 2D1a, b, d and e, if they have not been received by DS/DIU from the contractor or grantee.

3. The collection of AID Memory Documents in [ARC] DS/DIU was begun considerably after the creation of the AID and its predecessor agencies. There have been many contributions to the collection, but it remains incomplete. AID employees, Bureaus, Offices, and Missions are to take the following actions to help [ARC] DS/DIU complete the collection:

[a. The Communications Management Division, Office Of Management Operations (SER/MO/CM) provides ARC with one copy of the documents identified in 2D1c and d.]

a[b.] C&R Supervisors and files station personnel engaged in the retirement and disposition of records are to forward to [ARC] DS/DIU [a maximum of] three copies of all documents that meet [ARC] DS/DIU collection criteria and are in excess of those required to remain in the official files.

*Abstracts of documents defined in 2D1a, b, and e are also required except for loans[; see 2F.].

b[c.] Missions planning to close reference facilities frequently wish to donate their collection to government ministries or local universities. Such donations are authorized only after [ARC] DS/DIU has had an opportunity to review a listing of all documents that meet the collection criteria (2D1) to determine if any are needed to complete the [ARC] DS/DIU collection.

c[d.] AID/W Bureaus or Offices planning to discontinue units or functions are to forward their collection of AID Memory Documents to [ARC] DS/DIU or receive instruction from [ARC] DS/DIU before taking any disposal actions.

e[e.] AID employees separating from AID are not authorized to remove AID documents; they are to forward any personal collection of AID Memory Documents not needed by their successor to [ARC] DS/DIU prior to their departure.

e[f.] If any AID office is holding an only copy of an AID Memory Document and does not want to release it, [ARC] DS/DIU will reproduce copies to meet its needs, if feasible, and return the original copy to the holder. If it is not feasible to reproduce a copy, [ARC] DS/DIU requests the holder to release the copy to [ARC] DS/DIU for cataloging and marking with the [ARC] DS/DIU reference number. The document is then returned to the holder on an indefinite loan basis, with the request that it be released permanently to the [ARC] DS/DIU when no longer required by the holder. Should the copy have to be retired as a part of an official record of the Agency, [ARC] DS/DIU is to be notified of the accession and shelf list number under which it is retired.