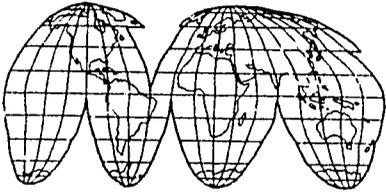


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**Agency for International Development
Center for Development Information and Evaluation**

Research & Reference Services

GUIDELINES:

**SELECTING and PROVIDING
A.I.D. DEVELOPMENT EXPERIENCE DOCUMENTS
to POL/CDIE/DI
for the A.I.D. DEVELOPMENT INFORMATION SYSTEM
by and for
A.I.D. Policy, Program, Project, & Technical Staff**

**A.I.D. Development Information System
Research & Reference Services
POL/CDIE/DI
January, 1992**

A.I.D. Development Experience Documents

What are A.I.D. Development Experience Documents?

A.I.D. Development Experience Documents are those key works that define, describe, and substantiate A.I.D. development policies, programs, and projects, and can represent them, now and in the future, to those who ask.

Why do they matter?

They matter because together in POL/CDIE/DI's A.I.D. Development Information System databases, where they are accessible and retrievable in many dimensions, they become a strategic information resource and a knowledge base available to you and others as a tool for understanding and sharing A.I.D.'s development experience.

Who uses them?

A.I.D. staff do, to inform the development of new policies, programs, and projects. A.I.D. contractors do, to prepare themselves for starting work on a new contract. Prospective contractors do, to update themselves on A.I.D. methods before preparing a new proposal. Evaluators do, to gather comparable information. Auditors do, to ascertain whether the sequence of a project's key documents and reports is completely represented in the knowledge base. Congressional staff do, to answer a Congressman's or constituent's question. Donor agency staff do, to make use of A.I.D. experience or methods in their own work. Academics do, in the course of researching books or dissertations on development. PVCs and NGOs do, to make use of AID-sponsored field manuals. And these are just a few examples.

How do they get into the A.I.D. Development Information System knowledge base?

They get into the DIS knowledge base because A.I.D. staff and A.I.D. contractors select and send them to POL/CDIE/DI. Then POL/CDIE/DI microfiches the work for permanency and creates an online record in the knowledge base, with catalog description, keywords, and often an abstract.

When do they get into the knowledge base?

They get into the knowledge base about a month after being issued, if the A.I.D. staff or contractor responsible sends a copy to POL/CDIE/DI when the work is approved and distributed. After being received in POL/CDIE/DI, processing takes under four weeks; sooner, by special arrangement, if there is reason to have it available for dissemination more quickly.

What does this have to do with me?

The knowledge base is your institutional strategic resource, and building it is your business. These guidelines explain how.

A.I.D. Development Experience Documents:

WHAT ARE THEY?

A.I.D. Development Experience Documents are those key works that define, describe, and substantiate A.I.D. development activity, and can represent it, now and in the future, to those who ask. They come from the full range of A.I.D.'s development work. They are not limited to "lessons learned" reports and they do not include administrative records. Select your key work that falls into any of the following nine generic categories, whether or not the exact type of document you work with is mentioned here. The most important criterion is the probable value of the document's informational content to others in A.I.D. and the professional development community.

1. Policy development and policy directives

Policy analyses, strategic plans, concept and issues papers, and resulting final guidance or directives, in whatever form they are disseminated (guidance cable, published policy paper).

2. Program and project development studies, surveys, & analyses

Examples include PD&S-funded research reports, feasibility or sector studies, analytic and technical papers, and other key works that underlie design of an A.I.D. development assistance program, project, or activity. This group is of vast potential use if made accessible to others but is now the biggest gap in the database.

3. Program descriptions, justifications, and reviews

Examples include Country Development Strategy Statements (CDSS), Country Program Strategy Paper (CPSP), Annual Budget Submissions (ABS), Program Objectives Documents (POD), Action Plans (AP), and others that define, describe, or analyze programs at country, sector, or issue levels.

4. Project design and authorization documents

Examples include: PIDs, PAADs, PAIPs, PPs, Cooperative Agreements, Grants, and Action Memoranda that define, describe, authorize, and commit a development assistance activity. Send only key works in final approved form, whether funded from ESF, DA, or Food for Peace accounts or other earmarks. Do not send administrative documents or transaction records such as pio/ts, which belong in official project files but are not themselves A.I.D. Development Experience Documents.

5. Program and project evaluation, performance, and indicator reports

Country and program performance reports, impact assessments, evaluations, program audits, project assistance completion reports, and any other document or report containing significant evaluative information and observation.

6. A.I.D. - supported research and technical reports, guides, manuals, & training materials

Reports and publications produced under a project, contract, grant, or cooperative agreement, are A.I.D. Development Experience Documents; also, guides and directories to centrally-funded research and technical support projects.

7. A.I.D. organizational, functional, or sectoral management studies

Cross-cutting reviews of A.I.D. institutional experience in managing U.S. foreign assistance are valuable A.I.D. Development Experience Documents.

8. Non-print information products

Videotapes, slide sets, posters, computer programs, and other media or electronic products, tools, and training materials produced with project funds in furtherance of a development assistance activity are A.I.D. Development Experience Documents. Send a deposit copy of any such deliverables that accompany a printed report. If a non-print product is itself the deliverable, send either a deposit copy or a complete description with availability information, using data entry sheets provided by POL/CDIE/DI Acquisitions.

9. Contractor and grantee Annual Reports, Final Reports, and deliverables of the above eight types.

Contractors and grantees can send work directly to POL/CDIE/DI Acquisitions if contract monitor agrees. The exception is project design documents such as Project Papers produced by contractors, which must be sent in the form finally authorized by the approving A.I.D. project officer, bearing the authorizing signature.

*****SEND ONLY A.I.D. - SUPPORTED DOCUMENTS, REPORTS, & PUBLICATIONS*****

*****QUERY POL/CDIE/DI FIRST IF YOU HAVE OTHER ITEMS YOU DON'T NEED*****

A.I.D. Development Experience Documents

WHY DO THEY MATTER?

A.I.D. Development Experience Documents matter to A.I.D. for one major reason: together in POL/CDIE/DI's knowledge base in the A.I.D. Development Information System (DIS), where they are accessible and retrievable in many dimensions, they become a strategic information resource that makes understanding and sharing A.I.D. development experience possible.

A.I.D. Development Experience Documents matter to you, A.I.D. policy, program, project, or technical officer, for three reasons:

- (1) Selecting and sending the A.I.D. Development Experience Documents for which you are responsible to POL/CDIE/DI takes care of their distribution and retention. You don't have to make copies for requesters -- we do it for you. You don't have to hold onto the last copies -- we will always have a copy for you.
- (2) Selecting and sending the A.I.D. Development Experience Documents for which you are responsible to POL/CDIE/DI, by making your work and your contractors' work that A.I.D. has paid for easily available to others, is one important way A.I.D. has of demonstrating program accountability.
- (3) When all cooperate in building a comprehensive knowledge base, you can query it in confidence that all relevant A.I.D. development experience information is available to you.

Enlightened A.I.D. staff, contractors, and grantees, perceiving that quick access and availability of their work was desirable and useful, have been contributing their key development experience documents and reports to DI Acquisitions for over fifteen years. As a result, POL/CDIE/DI's knowledge base of A.I.D. Development Experience Documents is now heavily used by A.I.D. staff, contractors, prospective contractors, development organizations, Congressional and Executive staff, evaluators, and auditors, as well as academics and the general public.

The voluntarism of past participation, while it established the knowledge base as a major resource, did not ensure its comprehensiveness. This POL/CDIE/DI must now do for the future, with your assistance. We seek to establish broad A.I.D. staff, contractor, and grantee participation in building the knowledge base, thus achieving a comprehensive and timely resource for information on A.I.D. development experience.

We offer these guidelines to help you establish the routines to ensure that your A.I.D. Development Experience Documents are sent to POL/CDIE/DI Acquisitions as soon as they are approved. We remind you that A.I.D. policy, program, project, technical officers, and their contractors and grantees, are required to send a complete final copy of each key policy, program, project, and technical document, report, and publication to POL/CDIE/DI Acquisitions for the knowledge base of A.I.D. Development Experience Documents, as stated in A.I.D. Handbooks 3:5D.1c; 14:23; and 18:IV.2c.

We also offer you the POL/CDIE/DI-sponsored information services that make possible your access to A.I.D.'s and others' development experience: the Research & Reference Services, the Development Information Services Clearinghouse, the A.I.D. Development Information Center, the Economic & Social Data Services, and the Agriculture Literature Search Service. Your contributions enrich CDIE/DI's major information resource of A.I.D. Development Experience Documents and enhance the quality of the information services you receive.

A.I.D. Development Experience Documents

WHAT DO THEY HAVE TO DO WITH ME?

Why do I have to send DI Acquisitions documents in addition to keeping the official files on my project?

Selecting and sending the key design documents, evaluation reports, and contractor deliverables to CDIE/DI is an A.I.D. regulation, necessary to build the knowledge base of A.I.D. Development Experience Documents. There, together with all others they make an accessible resource and available tool for understanding and sharing all aspects of A.I.D. Development Experience.

My project files were microfiched just last month. Why can't you use them?

POL/CDIE/DI just needs your selected A.I.D. Development Experience Documents, not your complete project file. And POL/CDIE/DI needs them when first approved, not after the files have been assembled for Records Management.

We'll send you these reports when we're finished with them. Okay?

Well, not really. We'd appreciate getting a complete, final copy when they are first issued, so that the experiential information available to others is current and timely.

But this one's in draft.

If the draft is important and of interest to others in A.I.D., send it when it is being circulated for review, then send the final when completed. We will replace the draft with the final version. Otherwise, after one year, we will consider the draft version as the final one.

But we already distribute one copy of everything to the Directorate for Policy. It's up to them to see that you get a copy, not up to us.

Sorry, it is up to you. "POL/CDIE/DI Acquisitions" is a different address and a separate distribution from all others. Since it ensures availability, it should be the first distribution.

We'll send you documents from now on. But we don't have the time or the staff to go through the 10 years' worth of reports here in our USAID library.

Let POL/CDIE/DI's Acquisitions Manager know the name of the person on your staff responsible for collecting and sending documents and reports to us. We will work with you to establish selection criteria; we will send you special envelopes and mailing labels; in short, we will do everything possible to make it easy for you to send us important backlog material.

I only have one copy left of this report, and I don't want to part with it.

The way to be sure a work is saved is to send it to POL/CDIE/DI Acquisitions for the Development Information System, where it will be available to you and others on demand -- it's that simple. If you still need the report, have a clear, clean, complete photocopy made and send that to us. And next time, send DI Acquisitions a copy of your reports when they are first issued!

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My contractor's reports contain privileged financial information about the company which cannot be disclosed.

Simple. Just mark the pages containing this privileged information so that they are omitted from the microfiche. Call the POL/CDIE/DI Acquisitions Coordinator Margaret Pope for more specific guidance if necessary.

My project paper contains privileged source selection information which cannot be disclosed.

Relegate this information to an appendix, as directed in the A.I.D. General Notice on Procurement Integrity-Source Selection Information, issued July 16, 1989. (Ask us for a copy if you need one). Alternatively, mark the relevant pages and the title page with the prescribed legend "SOURCE SELECTION INFORMATION - SEE FAR 3.104". Such information will be omitted from the document microfiche.

This contractor's report was terrible, not what we wanted at all. We don't want it to go anywhere!

Sorry, if A.I.D. has paid for it, it belongs in the Development Information System as an A.I.D. Development Experience Document. "Terrible" reports can be useful, too, because people can and do learn from others' difficulties. You can send a critical comments memorandum along with the report to CDIE, if you like; we will microfiche it together with the report. You could also restrict distribution to AID-only for a period of time.

But this contractor's report is going to be published, so we've taken care of distribution that way.

It still belongs in the A.I.D. Development Information System if A.I.D. has paid for it. Send a copy in the form submitted to A.I.D. (final typescript, proof, or offprint). You can restrict duplication to microfiche format only and/or distribution to A.I.D. only, if you wish.

What about deliverables with maps, slide sets, videos, or diskettes?

Send a copy anyway. When non-print material accompanies a print report, DI keeps the related items together. When the deliverable is non-print material, DI will preserve a deposit copy of the work. If expense, distance, or other constraints make it unreasonable to provide a copy of the work, you must have the contractor send DI Acquisitions a complete description, including present location and availability to others.

But my contract has been going on for years. We can't possibly send you all they've done.

Remind your contractors of the requirement (A.I.D. Handbook 18, Section 23). Note that DI now requires only one copy of each deliverable that qualifies as an A.I.D. Development Experience Document, whether or not it was specified in the original contract. Many contractors have been providing deliverables to DI Acquisitions all along, but if yours has not, have them contact the POL/CDIE/DI Acquisitions Manager to establish selection criteria relevant both to the contractor's work and to A.I.D.'s memory of its development experience.

What about cooperative agreements and grants?

If these mechanisms employ organizations whose deliverables qualify as A.I.D. Development Experience Documents, you must ensure that they are provided to CDIE as well as to you. Note that grantee annual reports and final reports are A.I.D. Development Experience Documents.

What about classified documents?

CDIE handles classified A.I.D. Development Experience Documents, such as USAID program annuals (ABSs, Action Plans, etc.) using normal classified document procedures. They are not entered into the A.I.D. Development Information System, but are indexed in a separate database available only to our staff. So send them anyway, using standard procedures for classified documents.

I don't get my information from documents and I don't use your services.

That's fine, but others do get information from your documents and others do use CDIE information services. You just have to see that one copy of each key document and report that you are responsible for approving, authorizing, or issuing, is sent to POL/CDIE/DI Acquisitions in its original distribution.

This is just another demand from AID Washington.

This is also a way you can demonstrate program accountability. Moreover, it is a way you can support managing for results by seeing that A.I.D. Development Experience Documents for which you are responsible find their way to POL/CDIE/DI's Development Information System. And, A.I.D. Inspector General auditors now look at adequate provision of documents and reports to POL/CDIE/DI Acquisitions as part of their audit procedure.

Why are you making this a requirement all of a sudden?

Actually, it's been a requirement for some time. See A.I.D. Handbook 3, Section 5D.1c 1988 (authorized project design documents); A.I.D. Handbook 14, Section 23 1988 (contractor reports); and A.I.D. Handbook 18, Section 23 1983 (all key development assistance documents). POL/CDIE/DI is now emphasizing its acquisition program in order to ensure a credible and comprehensive knowledge base of A.I.D. development experience, accessible to those with a legitimate interest, to support accountability, evaluation, and managing for results in A.I.D.

How will you help us with this?

We'll give you mailing labels, jiffy bags, and consulting services to assess material and establish selection criteria. Just ask.

We also give you the A.I.D. Research & Reference Services (R&RS), the A.I.D. Development Information Center in Rosslyn, the A.I.D. Development Information Services Clearinghouse (DISC) Document Delivery Unit, and the Economic and Social Data Services (ESDS). Your information resource supports your CDIE-sponsored information services.

Any more questions? Just ask:

POL/CDIE/DI Acquisitions Coordinator Margaret Pope.	(703) 875-4807
POL/CDIE/DI Acquisitions Manager Tina Wilson-Romero.	(703) 875-4807
POL/CDIE/DI Acquisitions Processing Nate Wooley.	(703) 351-4006

A.I.D. Development Information Center Reference Librarian.	(703) 875-4818
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Your Research & Reference Services AID/W Bureau Liaison.

Or Telefax any one of the above at: (703) 875-5269

A.I.D. Development Experience Document

WHAT MUST A POL/CDIE/DI LIAISON DO?

- o **Let POL/CDIE/DI Acquisitions know who you are. Use the self-mailer on the last page of these guidelines, if you wish.**
- o **Review A.I.D. Development Experience Document definitions. Discuss any questions you may have about them with your unit staff and with POL/CDIE/DI Acquisitions staff. Establish which documents issued by your unit are A.I.D. Development Experience Documents which will be sent to POL/CDIE/DI Acquisitions.**
- o **Review the rest of these guidelines, and work with POL/CDIE/DI Acquisitions to be sure all your questions are answered and our mutual expectations are clarified.**
- o **If you'd like pre-printed mailing labels, reinforced envelopes, or other assistance from POL/CDIE/DI Acquisitions, just ask.**
- o **Set up office procedures to ensure that you receive a copy of each A.I.D. Development Experience Document issued by your unit, its contractors, and its grantees.**
- o **When you have received a document from your unit, use the **QUALITY CONTROL CHECKLIST** on the next page to be sure that it is complete; get another copy from the approving officer if it is not. Then, send the documents on to POL/CDIE/DI Acquisitions. If your unit and its contractors are very prolific, weekly or monthly batches may be more convenient.**

THAT'S IT!

WHAT MUST A CONTRACT MONITOR DO?

- o **Arrange with your present contractor to provide POL/CDIE/DI Acquisitions a copy of each deliverable that qualifies as an A.I.D. Development Experience Document.**
 - > **Issue a written deliverable instruction, if necessary, citing Handbook 18:23.**
 - > **Have the contractor's report distributor contact the POL/CDIE/DI Acquisitions Manager at (703) 875-4807 to review selection criteria if there is a backlog of reports to be provided POL/CDIE/DI.**
- o **Arrange with your future contractors whose deliverables include substantial reports to provide an executive summary or abstract for inclusion in the DIS online record of the report. Include this as a requirement in the PIO/T.**
- o **Arrange to have your future contractors whose deliverables will be a multi-year series of reports to prepare and provide a periodic bibliography of all reports submitted to A.I.D. Include this requirement in the PIO/T.**

A.I.D. Development Experience Documents

HOW DO THEY GET INTO THE KNOWLEDGE BASE?

WHO IS RESPONSIBLE?

The A.I.D. program or project officer who authorizes, approves, or issues any document, report, publication, or non-print information product that qualifies as an A.I.D. Development Experience Document is responsible for ensuring that one complete and final copy is provided to POL/CDIE/DI Acquisitions.

WHAT DO WE DO?

All you need to do is three simple things:

- (1) See that your AID/W office, USAID, and contractors' normal distribution lists include POL/CDIE/DI Acquisitions.
- (2) Appoint for your operating unit a POL/CDIE/DI A.I.D. Development Experience Document liaison, who will collect and send us your unit's A.I.D. Development Experience Documents as they are issued.
- (3) Give the POL/CDIE/DI Acquisitions Manager the name, position title, office, and telephone/telefax numbers of your appointed POL/CDIE/DI A.I.D. Development Experience Document liaison.

Affected units in the agency are:

Directorate for Policy, its Offices, and Contractors
Directorate for Operations, its Bureaus, USAID Missions, and Contractors
Directorate for Finance and Administration (for major A.I.D. management assessments)
Office of the A.I.D. Inspector General (for program audits)

WHAT ABOUT CONTRACTORS?

Contractors, grantees, and PSCs can send a deposit copy of each appropriate deliverable directly to POL/CDIE/DI Acquisitions, if you prefer. Contractor-authored project papers and their equivalents, however, must come from the approving A.I.D. officer, in final form and bearing the authorizing signature.

WHAT ABOUT MISSIONS?

Geographic bureaus and their Missions must establish whether the A.I.D./W office or the USAID will send USAID-funded project design and evaluation documents to POL/CDIE/DI Acquisitions, so as to avoid unnecessary duplication, and inform the POL/CDIE/DI Acquisitions Manager.

USAIDs must see that one copy of the Mission-supported contractors' deliverables that qualify as A.I.D. Development Experience Documents are sent to POL/CDIE/DI Acquisitions upon delivery to the Mission contract monitor.

- > USAID Missions must designate a Mission Liaison to coordinate provision of A.I.D. Development Experience Documents to POL/CDIE/DI Acquisitions for the entire Mission.

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A.I.D. Development Experience Documents

HOW DO I SEND THEM TO CDIE?

QUALITY CONTROL CHECKLIST

- o Make sure the following data elements appear on the title page, cover memo, or face sheet:**
 - > Sponsoring A.I.D. office or USAID Mission**
 - > DATE of publication, approval, or issuance**
 - > Project number and Contract number**
 - > Authors' name(s) and institutional affiliation(s)**

- o Make sure the product is complete and legible.**
 - ? Are all the pages there, and in order?**
 - ? Are all annexes, illustrations, appendices, etc., present and in order?**
 - ? Has the author included an abstract or executive summary? (Optional but useful for key work)**

- o Check for any special processing or distribution needs.**
 - ? Is this a draft or final version? Indicate.**
 - ? Is any source selection or privileged financial information marked?**
 - ? Is the work due to be published outside A.I.D.? Indicate.**
 - ? Does the approving officer include a comments memorandum? Attach it.**

- o If you send the product electronically, either on diskette or via e-mail, specify in the file and accompanying message:**
 - > status is draft or final**
 - > your name, office and e-mail addresses, and telephone number**

- o If you need a supply of reinforced mailing bags or pre-printed mailing labels, let us know!**

A.I.D. Development Experience Documents

HOW DO I SEND THEM TO CDIE?

By mail or pouch:

**A.I.D. Document Acquisitions
POL/CDIE/DI Room 303 SA-18
U.S. Agency for International Development
Washington DC 20523-1803**

By courier only:

**DI Acquisitions
POL/CDIE/DI Room 209 SA-18
1601 North Kent Street
Arlington (Rosslyn) VA 22209**

By e-mail:

**Tina Wilson-Romero
Margaret Pope**

WHEN DO I SEND THEM?

Program and project design, justification, and authorization documents:

Send with first distribution of the complete, final, authorized form.

All other types of A.I.D. Development Experience Documents, as relevant:

- o When approved and/or authorized**
- o When first distributed outside your office**
- o When approved for payment of a contractor or grantee.**

DON'T WAIT UNTIL NOBODY NEEDS IT ANY MORE!

Remember, getting your A.I.D. Development Experience Document into the A.I.D. Development Information System takes care of making it available to others.

Refer your requesters to the A.I.D. Development Information Center, (703) 875-4818, to obtain documents.

A.I.D. Development Experience Documents

HOW DO I SEND THEM TO CDIE?

You can request the following CDIE Support Services:

- Pre-printed mailing labels
- Supply of reinforced envelopes (USAIDs only)
- List of your unit's documents now in the Development Information System, according to:
 - > project number
 - > author(s') name(s)
 - > contractor(s') organization(s)
 - > date(s)
 - > sponsoring A.I.D. office or USAID
- Assessment of office collections
- Consulting service to identify the A.I.D. Development Experience Documents produced by your office or USAID Mission.

Let POL/CDIE/DI Acquisitions know the name and title of your unit liaison by cable, e-mail, or telefax, or telephone. Provide the information below on this self-mailer, fasten with the address on the outside, and mail:

The following person is the contact in this office for provision of A.I.D. Development Experience Documents to CDIE Acquisitions:

Name.....Title.....

AID/W or USAID Office

AID/W Office or USAID Address.....

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Telephone(...)..... Telefax(...).....

Types of materials to be provided.....

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Services requested (or check off above).....

.....

Questions we need answered.....