

PN-ACB-499

REPORT ON THE
REVISION OF THE
ACTIVITY IDENTIFICATION AND
CLASSIFICATION SYSTEM
(AICS)
AGENCY FOR INTERNATIONAL DEVELOPMENT

Submitted to:

The Bureau For
Program and Policy Coordination,
Agency for International Development

Under Contract No:
AID/OTR-C-1696



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May 1979

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May 11, 1979

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Department of State
Agency for International Development
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RE: Contract AID/OTR-C-1696

Dear Ms. Lee:

This report concludes our work under the subject contract to prepare revisions to the Activity Identification and Classification System (AICS). The report presents the revised codes in considerable detail and explains the ways in which they are to be used to encode AID projects with information about the project purpose, target population, implementor, and implementation mode. It also discusses the systems impacts that the revisions will have and outlines an implementation plan.

The report does not present detailed training materials or Handbook changes, per se. Neither document can be developed at this time for a number of reasons:

- First, there is yet to be general agreement on the codes themselves or on the manner in which they are to be used. Training materials must be extremely detailed to be effective and these details cannot yet be recounted.
- Second, no firm concensus has yet been reached as to the systems which will support the AICS. The handbook changes (required in Handbooks 2, 3, 4, and 18) must be very precise in order to serve as adequate Agency guidance and this degree of precision has not yet been obtained.
- Finally, near the end of the project, a tentative decision was reached to include "non-project" activities within the scope of the project. It makes the most sense to make modifications to Handbooks and to prepare training materials with



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the overall picture (i.e., project and non-project assistance) clearly fixed. Because the inclusion of non-project assistance came late in the study, complete analysis of the impact could not be completed.

We have appreciated this opportunity to assist AID in this assignment. The project proved both more challenging and more rewarding than originally anticipated. Although our role on this project ends with the submission of this report, we feel compelled to emphasize that a considerable amount of work is still required before the revised coding system can be implemented successfully. We hope that this report, and the momentum generated during the study, will provide the necessary catalyst to bring the project to eventual fruition.

Very truly yours,

Herbert M. Birch, Jr.
Executive Vice President

Birch & Davis Associates, Inc.



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INTRODUCTION

The Activity Identification and Classification System (AICS)--most commonly known to AID staff as the "purpose and technical codes"--is a system of 600 codes that describe the purpose, technical area, and special foci of each AID project. As originally designed, the AICS Codes were to be applied to a project at the PID and PP stages:

- A single primary purpose code is to be applied to each project appropriation to indicate the "why" of the project. Assignment of a secondary purpose was optional.
- A primary and five secondary technical codes were available for each project, to describe the "what" or "how" of the project.
- A number of special concern codes could be applied to tag specific features of the project, such as target group or research.

The codes were originally developed to support the Planning, Budgeting, Accounting and Reporting System (PBAR) and, specifically, the Country Program Data Bank (CPDB), The Project Accounting Information System (PAIS), and the Development Information System (DIS). Despite the great expectations with which PBAR was launched, it never became fully operational and its modular components were never well integrated.

Implementation of AICS was also disappointing. A November 1977 study* of the coding system concluded that, although "the need for a project identification/classification coding system is accepted, considered justified, and of value to the operation of the ... systems" there are serious problems with the coding system itself and the systems it supports. Specifically, the study found:

- A lack of knowledge and understanding of AICS and related management information systems, particularly the Country Program Data Bank (CPDB)
- A wide spread misunderstanding that recent paperwork changes eliminated the management information systems

* Report on the Activity Identification and Classification System, Associates for Management and Evaluation, Inc., AID/OTR-147-77-138.

- A lack of credibility in the data input
- Limited understanding of the retrieval mechanisms used to access the data systems
- The codes were too numerous, detailed and overlapping. The handbook instructions are very vague. Also, the code "not elsewhere classified (n.e.c.)" appears too frequently.
- At the same time, some respondents in this earlier study complained that the codes were not comprehensive, precise or complete enough to describe all project activities.

The study concluded that there was a need for a more intensive analysis and revision of the AICS.

Recognizing the validity of this conclusion and the need for timely and accurate activity data, the Bureau for Program and Policy Coordination (PPC) engaged Birch & Davis Associates, Inc. to revise the AICS. Because the coding system does not exist in a vacuum, the study was also designed to assess the impact, if any, of the revisions on existing information systems. This document reports on the results of the study, presents the revised AICS Codes, and discusses the system implications of the revision.

I. PROJECT OBJECTIVES AND METHODOLOGY

The objectives of the project, as originally stated in the PIO/T, were fairly straightforward:

- To survey current and potential AICS users to identify their attitudes toward and experiences with the current system and their information needs
- To design a flexible AICS and associated Handbook 3 changes and training materials

Although not mentioned specifically in the scope of work, an implicit requirement of the project was to examine and describe the impact that the revisions would have on the existing information systems, primarily CPDB.

Thus, the first task in the project was to study the existing AICS codes, become familiar with their intended use, and examine the current operations of the systems which rely on AICS for project characteristic data. Subsequent tasks were:

- Develop an open-ended questionnaire and identify and interview the most appropriate respondents
- Review project and policy documents to obtain an understanding of the breadth of AID activities that would require description by the codes
- Prepare a draft revision
- Analyze the system implications of the proposed revision
- Circulate the proposal among project managers and systems staff for review and comment
- Finalize the conceptual design and prepare Handbook changes and training materials

This work was accomplished between September 1978 and May 1979. Each task is described in more detail below.

TASK 1: DEFINING THE PROBLEM PROVED MORE ARDUOUS THAN INITIALLY EXPECTED

The first task in any management consulting assignment is to clearly define the nature of the problem and the required

scope of work. Here, this first task proved to be quite difficult. Whereas the scope of work was narrowly focused on the problems with the AICS codes themselves, in reality the inadequacy of the codes was only one--possibly not even the major--reason why the information management and retrieval system was malfunctioning.

Consequently, during the first six weeks of the study period we examined the larger questions about how the CPDB, DIS, and PAIS systems were--and were not--operating. We reviewed the systems documentation, interviewed systems operators, and analyzed systems utilization reports. In particular, we noted discrepancies between the way in which the systems were designed to, and actually did, operate.

To better understand the overall systems environment, we reviewed the recently developed Program Budgeting Data System (PBDS) which has a coding scheme similar to but different from AICS, and which performs some of the tasks originally planned for the "PBAR" system. We also met with the contractor responsible for the new General Accounting System (GAS) to determine how, if at all, GAS would affect the systems which rely on AICS.

And finally, we examined the project design process during which the codes were to be applied (i.e., on the PID and PP facesheets),* paying special attention to the recent changes in the procedure (e.g., decycling, eliminating the PRP) and the impact of these changes on the coding.

TASK 2: AN OPEN-ENDED INTERVIEW GUIDE AND PRESENTATION WERE DEVELOPED

Early interviews about the AICS revealed that many systems users, and especially potential systems users, were not familiar with AICS or with the "PBAR" systems which utilize AICS. For this reason, we decided to forego a rigid questionnaire about the codes in favor of an open-ended interview guide (Appendix A). In addition to providing a framework for questions, it contained a brief description of the AICS and related systems. This presentation was made at the beginning of each interview to establish common ground between the respondent and the interviewer and to establish the context in which questions could be explored.

* In this connection, we reviewed a report on the project design process prepared by Booz-Allen and Hamilton, Inc. "Study of Selected Aspects of the Project Assistance Cycle."

TASK 3: AID STAFF RESPONSIBLE FOR INFORMATION SYSTEMS,
FINANCIAL MANAGEMENT, AND TECHNICAL AND GEOGRAPHIC
BUREAUS WERE IDENTIFIED AND INTERVIEWED

The report on AICS which preceded this study recommended strongly that this study be very user oriented. That is, revisions in the AICS codes and procedures should be responsive to the perceived needs of AID staff who must either 1) provide the coded data or 2) rely on the coded data to perform some other task.

Exhibit I-1 lists the individuals who were interviewed.

TASK 4: POLICY AND PROJECT DOCUMENTS WERE ANALYZED

In addition to personal interviews, numerous project papers, policy papers and other documents were reviewed. These were analyzed to identify:

- The variety of project characteristics that must be covered by codes
- The policy areas and topics of concern during the planning and budgeting cycle to which the coding system should be responsive
- Systems implications and limitations

Exhibit I-2 lists the major documents included in this review.

TASK 5: PREPARE A DRAFT REVIEW

After three months of analysis, it began to appear that additional interviews would not be fruitful unless respondents had a more firm understanding of the type of changes that were under consideration. We decided at this point to draft the revisions, using them as a point of departure in subsequent interviews, thereby modifying or validating the proposed codes.

Accordingly, an interim report was prepared describing:

- The background of the project
- The objectives of the revised coding system and some limitations or constraints in meeting the objectives
- A coding structure or framework

AID STAFF RESPONDENTS FOR STUDY OF AICS CODES

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Thomas Arndt, Bureau for Asia

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Lee White, Development Information and Utilization, Bureau for Development Support
Carole Woodward, Office of Legislative Affairs
Karen Weise, Office of Agriculture, Bureau for Development Support

DOCUMENTS REVIEWED FOR
STUDY OF AICS CODESHANDBOOKS

Handbook 2
Handbook 3
Handbook 4
Handbook 18

INFORMATION SYSTEMS DOCUMENTATION

P.A.I.S. Documentation
PBAR Data Element Dictionary
PBAR File in CPDB
Accounting File in PAIS
Budget 15 File in PBDS
Budget 02 File in PBDS
A User's Guide to Country Program Data Bank, Project Accounting and Information System, and Economic and Social Data Bank Reports
AID Functional Requirements for the Country Program Data Bank
Project Planning and Budgeting Data General Overview Materials
PPC/PAIS Briefing Materials
PBAR Information User's Guide
Addendum, PBAR Information User's Guide
Manual of Classification of Agricultural and Forestry Research
EDP Lookup Table of Established Allotment Codes for the Country Financial Reporting System
Project Accounting Information System, Selected Reports From the PAIS Data Files
Internal Procedures Manual, Office of Financial Management
USAID Accounting Systems Manual
Combined Thesaurus, Development Information System
ASIA Bureau FY 1979 OYB Information System Printout
Africa Bureau Operational Year Budget System
Project Accounting Information System (PAIS) Procedures for Requesting Ad Hoc Reports
Input Documents and Coding Instructions for the Development Information System
Program Budget Data System Updates: Communication # 2: Special Concerns
Development Information Service System ADP Functional Requirement
GAS Requirements Study, Arthur Young & Company
GAS Conceptual Design, Arthur Young & Company

BUDGET DOCUMENTS

Guidance for FY 1981 Annual Budget Submission
Memorandum from AA/PPC, re: FY 1978 OYB Program Guidance for FY 1980
Guidance for the Country Development Strategy Statement (CDSS)
AID Congressional Presentation, Fiscal Year 1979, Main Volume
Guidance for FY 80 CP: Main Volume
FY 80 CP: Supplement to Main Volume and Regional Guidance ("Congressional Concerns")

MISCELLANEOUS DOCUMENTS

Standard Industrial Classification, US Department of Commerce
Study of Selected Aspects of the Project Assistance Cycle, Booz, Allen & Hamilton, Inc.
Implementation of "New Directions" in Development Assistance, 94th Congress, 1st Session
AID Flash Reports Worldwide, Financial Status of FY 1979 Programs
Country Financial Report, Economic Assistance
Functional Review Data, Agency for International Development
Health, Population, and Nutrition Activities, FY 1976 - FY 1979
Patterns in Potable Water Projects: An Analysis of AID's Automated Data
Summary of AID Organization and Workforce
U.S. Overseas Loans and Grants and Assistance from International Organizations
Policy Paper, Education and Human Resources, AID
S.2420, to Establish the International Development Cooperation Administration
Report on Women in Development, Submitted to the Committee on Foreign Relations, US Senate
A.I.D. Projects, Commitments by Field of Activity, FY 1955-70
Education Projects: How to Find Out What's In Them
A.I.D. Projects-FY 1972, By Country and Field of Activity
AID Financed University Contracts and Grants Active During the Period October 1, 1977 through September 30, 1978
Manual Order 1095.2
The International Development Cooperation Act of 1978, Chapter by Chapter Summary
Near East: Project/Program Loans and Grants Planned for FY 1979 and FY 1980
Near East: Project/Program Loans and Grants Authorized FY 1979 and Earlier
Bureau for Near East: Status of Project/Program Assistance Implementation Report No. 15
Report on the Activity Identification and Classification System AICS, Associates for Management and Evaluation, Inc., November 11, 1977
Development Assistance Committee Working Party on Statistical Problems, Proposed Revision of the Classification of AID to Agriculture
Functional Area Listing for Agriculture Projects
Geographic and Functional Distribution of Australian Official Development Assistance, Statistics Section Australian Development Assistance Bureau, Department of Foreign Affairs
Selected Project Papers

- The items or project characteristics to be coded
- Several alternatives for assigning dollar values to the codes
- A comprehensive cross-reference list comparing the suggested revisions to the existing AICS purpose codes, the PBDS typical concern codes, the information needs expressed by respondents, and the information needs reflected in the AID policy papers

This report became the basis for the three remaining tasks.

TASK 6: ANALYZE THE SYSTEM IMPLICATIONS OF THE PROPOSED REVISIONS

To understand how the proposed revisions would or would not be accommodated by existing systems, we identified the impact on:

- Country Program Data Bank (CPDB)
- Project Accounting Information System (PAIS)
- Program Budgeting Data System (PBDS)
- Development Information System (DIS)

To analyze each system, we met with program and data processing personnel most familiar with the system, reviewed current documentation, and developed flow charts, file structure summaries, and input and output descriptions to support subsequent analysis.

In addition, we considered the impact on non-project systems and the issue of integrating the project and non-project coding. Thus, the following systems were also reviewed:

- Allotment Accounting System
- Mission Allotment Accounting System
- Loan Accounting Information System
- Country Financial Reporting System
- Program Assistance System

Finally, we reviewed the requirements documentation and conceptual design for the new General Accounting System (GAS) to determine how, if at all, the systems related to AICS

would be changing over the next five years to interface with GAS.

TASK 7: CIRCULATE THE PROPOSED REVISIONS FOR REVIEW AND COMMENT

When the basic conceptual design was complete, two committees were formed:

- The first to review and comment on the adequacy of the codes themselves, e.g., the coding structure, the list of project descriptions, and the approach to assigning dollar values
- The second to identify and discuss the system implications of implementing the revised codes

The committees met four times to discuss these topics. In addition, follow-up interviews were held with representatives of the geographic bureaus to assure that the codes accurately describe the nature of all projects now underway. Exhibit I-1 also lists the AID staff who were involved in this phase of the project.

At this time, consideration was also given to expanding the scope of the codes so that all AID activities--project as well as non-project--could be coded, using a single AICS structure. The codes described in this report are comprehensive enough to cover many, but probably not all, non-project activities.

TASK 8: ANALYZE THE CONCEPTUAL DESIGN

Finally, we prepared this final report which describes the revised codes and method of coding dollar amounts among four project characteristics. It also describes the systems implications of the revisions and sets out an implementation plan.

CHAPTER II

FINDINGS AND CONCLUSIONS

II. FINDINGS AND CONCLUSIONS

Overall, we find that the codes are, indeed, unsatisfactory for a number of reasons, but that much of the perceived "problem" is not a function of the codes, *per se*. Rather, malfunctioning of the CPDB system is a result of other more fundamental systems operation and attitude problems. While most of these other problems can be overcome, they will not be solved simply by trading one set of codes for another. Moreover, if these other problems are not addressed, the revised AICS codes, like their predecessor, will fail entirely.

1. THE EXISTING AICS CODES ARE AMBIGUOUS AND CONFUSING

The current AICS is made up of three distinct parts. The first aspect of AICS is the purpose codes. These codes--one primary code per project--purport to provide summary information about dollar amounts. These codes answer the question "How much money did AID spend on XYZ?" The AICS purpose codes do not, however, describe the project purposes well.

First, there is considerable overlap among the codes. It is difficult to imagine a project that will "increase the quantity and quality of small farm output" (210) without also increas(ing) the profitability of small-scale farming" (220). Similarly, a project intended to "increase the income of the urban poor" (710) will probably also "improve the quality of life of the urban poor" (720). In part, these overlaps result from the grey, admittedly difficult, definition of "purpose" itself and confusion between goals and objectives. To illustrate:

- Promote exports (730) and reduce the incidence of disease (510) are objectives.
- Both could be undertaken to reach the goal of improved quality of life for the urban poor (710).

Second, the AICS codes are not comprehensive or internally consistent. For example, if "improving the quality of life for the urban poor" is a valid objective, then one might expect to find "improving the quality of life for the rural poor" as a code. And what of the poor suburbanites? Presumably, all AID projects are designed to enhance the quality of life of some group of people. This item of information is known about a project without having to code it. To categorize a project in this manner does not provide additional useful information.

Third, the codes contain considerable extraneous information not related strictly to "purpose." For instance, some codes describe the techniques employed (e.g., research), the scope of the project (e.g., small-scale), the target group (e.g., the poor), the location of the project (e.g., urban), and the funding source (e.g., 211(d)). Perhaps, these are valuable items of information about each project. Calling these items of information "purpose" codes, however, clouds the definition of purpose. Moreover, if these items of information are important about some projects, the opportunity should exist to code the additional information on all projects. For example, a coder could indicate that a health-related project is addressed to the rural poor (e.g., 530) but could not note whether it was addressed to the urban poor. Nor could a coder indicate that a nutrition project was directed to a specific target group.*

The random handling of extraneous information via the purpose codes presents another problem. The number of combinations between a funding source, a technique, a target group and a purpose are almost limitless. For example, a project funded by 211(d) could also involve research. Yet, both items of information are contained in the third digit of the purpose code; only one item of information can be selected. If both are important, a different strategy must be devised to make all combinations possible. If one or both pieces of information are not useful, they should be deleted.

Finally, AID projects are becoming increasingly complex. Most have two or more purposes. With the current AICS codes, financial information about the other purposes is not captured. As a result, some purposes are credited with too much money and some with too little.

The second aspect of the AICS structure is the technical codes. Up to six technical codes are allowed per project. These codes are not used to make statements about the financial magnitude of a project. Rather, they are used as an indexing tool to identify projects containing certain elements. Overall, the technical codes are more detailed than the purpose codes and are intended to be more descriptive. Yet the codes do not consistently describe "technical fields", and lack internal consistency, e.g., with respect to level of detail.

*Of course, a special concern code exists to code the target group. The fact that this information is available through the special concern code argues against the random inclusion of target group information in the purpose codes rather than for an expansion of the purpose codes.

For instance, some codes are so general that they provide no information beyond that included in the purpose code. Purpose code 530 (establish or strengthen low-cost, integrated delivery systems) is more specific than the corresponding technical code 510 (health delivery services).

Other technical codes are highly specific, listing a particular subject such as corn, rice, or wheat. Yet this level of detail might be appropriate for other technical codes. Higher health and medical education could be further divided to include physician education, nurse education, pharmacist education, and so on.

Like the purpose codes, the technical codes contain a variety of information types: recipient--codes 611 to 615; funding source--750; and technique--950 to 978. They also contain some duplication (infrastructure appears as 252 and 063) and some items of non-information ("humanitarian assistance"-- is not all AID assistance humanitarian?)

The third and final part of the AICS is the special concern codes. These may well be the most important set of codes; they are certainly the least well conceived. They indicate beneficiary (but not all possible choices) and research, both of which are scattered throughout the purpose and technical codes. And they also indicate a variety of other special concerns, some of which indicate items already available through the purpose and technical codes.

In summary, each set of AICS codes--the purpose, technical and special concern codes--contain problems. Viewed as an integrated set of codes, these problems are even greater. AICS has a multiple and internally inconsistent personality. It tries to do too much and, as a result, does none of its functions especially well.

2. INFORMATION NEEDS FALL ALONG A CONTINUUM FROM VERY DETAILED TO VERY SPECIFIC

As a rule, most respondents were unable to indicate all the data elements they might find useful; instead, most provided examples of the types of information required. Exhibit II-1 is an illustrative list of the reported information requirements. These needs showed very little pattern but, rather, fell along a continuum that can best be described as ranging:

- From very detailed, highly technical project characteristics (e.g., firewood, mid-wife training, citrus farms)
- To more general project characteristics (e.g., energy, health, agricultural production)

ILLUSTRATIVE LIST OF
INFORMATION REQUIREMENTS

1. Comparison of the projects originally planned by missions (i.e. the PIDs) and the project packages finally presented in the CP, funded, and implemented.
2. Comparison of the project packages from one year to the next to see how the Agency priorities are translated into project support.
3. Identification of all projects directed solely towards women and identification (in dollar terms) project components that are intended to benefit primarily women, by purpose of project.
4. Amount of money spent on evaluation.
5. Amount of disaster relief funds expended over the past five years, by country.
6. Number, type, and cost of AID housing projects.
7. Amount of money spent in communist countries.
8. Amount of money spent on water projects--dams, electricity, potable.
9. Amount of money spent on sterilization projects.
10. Amount of money spent in public administration education, secondary education, and other higher education for three relevant years.*
11. Amount of money spent on various commodities that might threaten domestic commodities (e.g., steel, citrus, shoes).
12. Information on projects involving environment, women, energy, and other "hot" topics that span traditional administrative barriers. Money spent on these and other topics, assembled in such a way that adding all projects and sub-projects amounts together will equal the whole.
13. Amount spent on research projects. Amount spent on prefeasibility and feasibility projects. Amount spent on direct service.
14. Project cost by functional sector and geographic area.
15. Information about the effectiveness and efficiency of AID projects.
16. Project information that will help management determine if Agency priorities are being followed.
17. Existence and status of GAO or other audit findings, by project.
18. Information on the contracts associated with each project.
19. Information on reprogramming of projects, either change in cost (up or down) or change in technical nature or purpose.
20. Information on each project's technical areas and purpose, but not the overlapping codes currently used. The first digit level on the purpose code is not adequately distinct and there should be more large groupings of functional sectors than the nine that exist.
21. Large categories that describe the purpose of the projects so that projects could be assembled that include "everything you want to know about...".
22. A purpose and technical code for each project. The purpose should at least identify the sector and it should be possible to code more than one purpose. The purpose and technical codes should not be overlapping but hierarchical.
23. Financial amounts by project number from budget, (OYB) through actual expenditures from the life of the project. Wants to be able to cross reference grant and loan number with project numbers.
24. OYB totals for each project broken down by grant and loan number and actual obligation per quarter by project number and grant and loan categories.**
25. CP budget amounts for certain broad categories of projects, such as energy and primary education. This information is used infrequently to respond to external requests, not for management decision-making.

* Most requests for information about money involved the actual year, the operational year, and the planning year.

** These needs are currently satisfied by the Asia Bureau OYB system

26. Type and source of funds by "project purpose" throughout the life cycle of the project (i.e., PID, ABS, CP, OYB, actual).
27. Financial information about health planning projects, environmental health projects (including tropical diseases) and health services delivery systems projects.
28. Amount of money spent on shistosomiasis.
29. Very general categories (i.e., that do not involve a lot of judgment) of information about project purposes. The details about projects are too hard to classify and undermine confidence in the system.
30. Wants to develop a detailed profile (e.g., soil mapping) of the project portfolio so that field priorities can be identified and so that centrally funded projects can support field projects. Concern about the financial picture over the life of a project.
31. Wants information to support responses to a variety of inquiries, such as "how much are we spending on primary, secondary, and higher education," "how much are we spending on training," "how much are we spending on participant training," "on former training." Wants to know training elements of projects that fall outside of the education account.
32. Amount spent on communication satellite projects.
33. Information about the amount of money spent on science and technology for development, institutional arrangements and new forms of international cooperation in the application of science and technology, and utilization of the existing U.N. system and other international organizations.
34. Amount spent on formal and non-formal education.
35. Amount of money spent on improving literacy rates.
36. What are we doing for X population group in Y subsector in Z country. X, Y, and Z have endless possibilities.
37. Information about project inputs and outputs during the implementation stage.
38. For each project, a report that indicates obligations and expenditures.
39. Information regarding environment projects, women, energy development, and participant training.
40. Amount of money spent for research.
41. Amount of money spent for health that is not in health account (for example).
42. Large broad categories that describe the percentage of agency budget spent on X topic, such as agricultural research, rural credit, and extension.
43. Number of projects and money spent on health planning, environmental health, disease control, nutrition services, family planning services, and general health services.
44. Amount spent on primary and secondary education relative to post secondary education.

Early in the project, we decided that the AICS revisions should fall near (but not at) the more general end of the continuum, for a number of reasons:

- The success of the coding system hinges, more than anything else, on the willingness of the coder to provide accurate, timely information. This willingness hinges, in part, upon the coding burden: the more simple the coding system, the more likely it is to be supported.
- The Development Information System (DIS) retrieves project information by use of a key word process. The DIS Key Word Thesaurus has over 3,000 entries and provides very specific, highly technical indicators of many project elements. It does not provide financial information but it does satisfy most of AID's information needs at the "detailed end" of the information needs continuum. Currently, DIS is experiencing a sizeable backlog and, so, is unable to provide information about many most recent projects. This backlog will be eliminated over time and, in the meantime, we see no reason to develop a similar capability with the AICS codes.

3. PROBLEMS OTHER THAN THE CODES COMPROMISE THE EXTENT TO WHICH A CLASSIFICATION SYSTEM CAN BE IMPLEMENTED

Assuming that the codes themselves were satisfactory, the existing systems still would not provide users with timely, accurate information. Three problems were identified:

- Respondents throughout AID are surprisingly candid about their unwillingness or inability to apply codes correctly. Tremendous negative incentives exist:
 - AICS codes must be closely related to the appropriations account. Sometimes, a project may most logically fit into one appropriation account but that account has inadequate funding. With a slight shift in emphasis, the project can be funded from another, less germane account.
 - Missions and bureaus are under increasing pressure to assure that their portfolio adequately addresses purposes and target populations of special concern, such as women in development or energy. Codes may be applied in marginal cases to satisfy Agency priorities and policies

when, in fact, the project may have relatively little bearing on the particular policy in question.

- Most codes are applied by the Project Manager at the Mission or Geographic Bureau. Contrary to our expectation in starting this study, these AID staff have very little, if any, personal use for the information that is coded and, thus, have no incentive to describe the projects accurately and completely.
- Due to lack of adequate examples and instructions and the ambiguity in the codes themselves, coders vary tremendously in their understanding, interpretation, and application of the codes.
- The PID and PP facesheets which contain AICS codes were recently decycled. Although still in use by Missions and Bureaus, they are not routinely provided to CPDB and DIS. When the official PID and PP are found missing from CPDB, documents are created in PPC using the best data available. This creates suspicion regarding the accuracy of the data.
- Many respondents noted that too little is known about a project to code it well at the PID stage. Nonetheless, codes are applied and, often, are simply copied onto the PP Facesheet (at a time when more is known about the details of the project) without much thoughtful analysis about the changes since the PID.

As a result of these problems and, more, as a result of chronic disappointments with the much-heralded "PBAR" system, and other Agency information systems, many Agency staff have developed hopeless, if not cynical, attitudes about the potential utility of management information systems and codes in general. These attitudes, however well-founded in prior experiences, tend to be self-reinforcing with respect to future systems experiences. These attitudes, more than any other single factor, can cause the new coding structure and associated systems to fail. Consequently, we conclude that the new coding system should be modest in its expectations, thereby increasing the chances that the expectations can be fulfilled.

4. THE PROPOSED GENERAL ACCOUNTING SYSTEM (GAS) WILL NOT HAVE AN IMMEDIATE IMPACT ON THE PROJECT AND NON-PROJECT ACCOUNTING SYSTEMS

Currently, accounting information for project activities is accumulated in the Project Accounting Information System. The information for Mission projects is provided to PAIS directly by the Mission. Information on AID-Washington project is initially recorded in several AID/W accounting systems and then entered, again, manually into PAIS. Non-project accounting information resides in several different accounting systems which were discussed in a previous section of this report.

Since the accounting process and related systems of AID are currently undergoing extensive review and redesign, several documents were reviewed to determine how project and non-project accounting information will be processed in the future:

- GAS Requirements Study
- GAS Conceptual Design

The GAS Conceptual Design is of particular relevance to the AICS project. It presents an extensive analysis of proposed GAS, and a implementation plan. GAS intends to address project and non-project accounting and reporting as follows:

- PAIS--This system will *not* be replaced by GAS. It will continue to be the main source of accounting information for projects and will be expanded to account for non-project activity.
- GAS--The new system will collect and process AID/W project and non-project accounting information as part of one major system. This system will then accumulate data in the Financial Analysis and Reporting Module. This module is to provide detailed reports for AID/W project and non-project activities, including programs. This information will then be transmitted monthly to PAIS via tape.

The GAS interface is currently scheduled to be implemented in two phases:

- First Phase--An "interim interface" will be fully implemented by May, 1981.
- Second Phase--The final interface will be completed by November, 1982.

Thus, by 1981 this approach will provide an automated interface between GAS and PAIS for inputting financial information on AID/W

projects and non-project assistance. The timeliness of all accounting information will be improved by virtue of the new monthly reports. In the meantime, however, there will be no easy way to tie project and non-project financial data together.

III. CONCEPTUAL FRAMEWORK

As a result of the extensive interviews and analysis, we have identified a number of objectives on which a consensus seems to form. We recommend that the coding system strive for:

- CONTINUITY: The codes should provide consistent project descriptors throughout the planning and budgeting phases of development. If, at some later date, codes are applied in the implementation or evaluation phase, the codes should be the same as, or a more detailed subset of, the codes adopted as a result of this study.
- MUTUAL EXCLUSIVITY AND EXHAUSTIVENESS: The purpose codes should describe the financial aspects of an activity so that when all activities are added together they reflect the whole of AID's activity, no more and no less.
- INTERNAL CONSISTENCY: The codes should arrange activity descriptions into groups of common elements. For example, codes that describe purpose should not be mixed with codes that describe target population. If both elements (purpose and target population) are necessary, they should appear in discrete lists.
- DETAILED ACTIVITY DESCRIPTION: The codes should describe the activity in sufficient detail so that the major purposes and characteristics of the activity are retrievable by the codes alone.
- SIMPLICITY: The coding system should be very simple. That is, the number of codes should be small and the degree of judgement required to apply or interpret the codes should be low. Moreover, detailed and clear instructions should be provided.
- FLEXIBILITY: The coding system should be flexible so that incremental changes can be made without disrupting the entire coding system.

Because some of the objectives are in conflict with others, compromises will be necessary. For example, if the coding system is very simple it will not provide the minimal level of detailed information that is required. The compromise is

struck in two ways:

- By the content and level of detail in the codes
- By the way the codes are employed to classify financial data

The following sections describe the level of detail and the coding relationships that we feel best walk the line between precision and simplicity, and satisfy the other objectives well. It also describes a conceptual framework for systems processing, and illustrates the retrieval capabilities of the proposed approach.

1. THE REVISED AICS CODES DESCRIBE THE PURPOSE, TARGET POPULATION, IMPLEMENTOR, AND APPROACH FOR EACH AID ACTIVITY

One of the major problems with the existing AICS codes is that they lack internal consistency. The three sections of the AICS are titled "Purpose," "Technical," and "Special Concerns." Yet, as discussed in Chapter II, the codes in these three categories describe a variety of project characteristics, including purpose, target population, implementing agency, funding source, technique or approach, location, and goal. A major objective of the revised AICS is to reduce the confusion created by this lack of internal consistency.

Thus in developing codes to describe AID activities, we must identify first the major characteristics of an activity that warrants description. A review of the existing AICS codes, the PBDS codes, the policy papers, and interviewee responses indicates that four characteristics are of considerable interest:

- DEVELOPMENT PURPOSE: In this area, codes describe the purpose which the activity is expected to effect. The codes can describe activities with multiple purposes but are not to be used to describe the indirect impacts of the activity. For example, an activity may have two purposes: electrification and communications. Both of these outcomes (i.e., improved electrification and communications) may improve the LDC community's ability to provide general health services or primary education. But these latter two purposes are *indirect* and therefore not coded.

- TARGET POPULATION: Codes in this area describe the principal individuals, groups, or organizations whom the activity is designed to help directly. Individuals, groups, or organizations who benefit secondarily, or ultimately, are not to be described as the target population. For example, provision of grant support to a developing PVO will, one hopes, eventually result in benefits to the citizens of the LDC. In the meantime, however, the PVO--not the urban or rural poor--is to be coded as the target population.
- IMPLEMENTOR: These codes identify the groups or organizations with primary responsibility for performing the tasks necessary to achieve the specified objectives. The implementor may be a contractor, a grantee, or another organization or group which receives financial support or other assistance to pursue the primary objectives of the project. AID Staff is to be coded as implementor only when they have primary responsibility for achieving the objectives directly.
- IMPLEMENTATION MODE: These codes describe the principal type of assistance sponsored by AID in carrying out the activity.

Exhibit III-1 lists the recommended codes for each of the four characteristics. In Exhibit III-2, the purpose codes are defined. Finally, Appendices B through F show the relationship between these recommended codes and the existing codes, policy concerns, and respondent information needs:

- Appendix B: Comparison Between Revised AICS Codes and PBDS Subcategory Codes
- Appendix C: Comparison Between Revised AICS Codes and PBDS Special Concern Codes
- Appendix D: Comparison Between Revised AICS Codes and Interviewee Information Needs
- Appendix E: Comparison Between Revised AICS Codes and Major Topics Noted from AID Policy Papers
- Appendix F: Comparison Between Revised AICS Codes and AICS Purpose Codes

The content of the revised codes is, of course, a very important aspect of the final coding system. Equally important is the

DEVELOPMENT PURPOSE

EDUCATION

Preschool Education
Primary Education
Secondary Education, General
Secondary Education, Vocational and Technical
Adult Education, Vocational and Technical
Post-Secondary Education
Non-Formal Education
Education Planning and Administration
Education, Other (Specify)

HEALTH

Low Cost Health Care Services
Communicable Disease Control
Sanitary and Potable Water Services
Health Services Education and Training
Health Planning and Administration
Health, Other (Specify)

POPULATION PLANNING

Family Planning Services
Family Planning Education
Family Planning Administration
Family Planning, Other (Specify)

ENERGY

Alternative Energy Sources
Electrification
Traditional Energy Sources
Energy Planning and Administration
Energy, Other (Specify)

AGRICULTURE AND NUTRITION

Agriculture Extension
Farming Systems Development and Support
Irrigation Systems
Food Marketing and Distribution
Food Processing and Storage
Fertilizer Production and Distribution
Land Tenure and Land Reform
Agriculture Education
Agriculture and Rural Program Administration
Forestry and Fishing
Nutrition Services
Nutrition Planning and Administration
Agriculture and Nutrition, Other (Specify)

TARGET POPULATION

Women	Rural Poor	PVO	LDC University	General Population
Infants	Urban Poor	Cooperative	Other LDC Institution	
Youth	All Poor	US University	Other (Specify)	

IMPLEMENTOR

TYPE OF ORGANIZATION: Cooperative, Government Agency, University (Non-Title XII), University (Title XII), Agriculture Center, Labor Institute, Women's Organization, Minority Organization, PVO, Commercial Contractor, AID Staff, Other (Specify)

HOME BASE OF ORGANIZATION: Host-country, US, Third Country, International, Regional

IMPLEMENTATION MODE

DIRECT SERVICES: Supplies, Freight Subsidies, Participant Training, Technical Advisory Services

Construction and Capital Equipment

RESEARCH AND DEVELOPMENT: Applied Research, Development Research

COMMODITY IMPORTS

CAPITALIZATION

MANAGEMENT AND CONSERVATION OF NATURAL RESOURCES

Land Resources
Water Resources
Air Resources
Management and Conservation of Natural Resources, Other (Specify)

MANUFACTURING, INDUSTRY, AND SERVICES

Manufacturing, Industry, and Services

HOUSING

Housing

FINANCE AND TAXATION

Finance and Taxation

COMMUNICATIONS

Communications

TRANSPORTATION

Primary Roads
Secondary and Tertiary Roads
Other Transportation Infrastructure
Transportation Services and Equipment
Transportation Planning and Administration
Transportation, Other

DISASTER ASSISTANCE

Disaster Assistance

REFUGEE ASSISTANCE

Refugee Assistance

CAPACITY BUILDING AND SELF-HELP

US Institutions
LDC Institutions
Self-Help Projects

PROGRAM DEVELOPMENT AND SUPPORT

STUDIES: Feasibility, Evaluation

CREDIT

BALANCE OF PAYMENT SUPPORT (Cash Transfers)

GUARANTY

FUNDS TRANSFER OR PASSTHROUGH

OTHER GRANTS TO INSTITUTIONS

DEFINITIONS FOR DEVELOPMENT PURPOSE

EDUCATION

Education is one of the most difficult topics to code because it is, on the one hand, a major development sector, equivalent to the other major development sectors such as health and agriculture. On the other hand, education is a means of accomplishing the objectives in another development when, for example, physicians or nurses are educated or agricultural specialists are trained. The following rules should be applied when using this AICS to describe "educational" activities:

- If the education is directly related to one of the major development purposes contained in the AICS (e.g. to Health, Population Planning, or Energy) then the activity purpose should be coded under that major development purpose.
- If the education is general or potentially related to a number of development purposes, then it should be coded under one of the Education codes, to reflect the level of the education

The following examples illustrate this distinction:

- Example 1: An activity is designed to train physicians and nurses who will return to their homes and provide low cost health care services. The development purpose should be coded "Health Services Education."
- Example 2: An activity to train agriculturists so that they can provide assistance to small farmers in developing farming systems should be coded under "Agriculture Education." The portion of the project in which support is actually provided to develop farming systems should be coded "Farming Systems Development and Support."
- Example 3: An activity to provide training in engineering, physics, or business administration may, eventually, be put to use in any of a dozen development purpose areas (e.g. Manufacturing, Industry and Services; Energy Education, Planning, and Administration; or Primary Roads). When coding the development purpose of such an activity, do not speculate on the eventual application of the education. These general or multi-purpose educational activities should be coded under one of the Education codes, depending upon the level of education (i.e. Secondary Education, Vocational and Technical; or Post-Secondary Education).

There are nine education categories available for coding, plus an "Education, Other" category. If "Education, Other" is selected, the topic must be summarized in four or five words. In this way, the coding system can keep track of the uses of "Other" and, if patterns begin to emerge, can add the frequently cited "Other" as an explicit code.

Preschool Education

This code includes activities of organized formal or non-formal education to prepare preschool aged children and their families for the educational process, to improve basic educational skills in anticipation of primary school requirements, and to otherwise develop, improve, or support the provision of preschool services.

Primary Education

This code includes activities of organized formal (e.g. graded, classroom) education to improve general educational opportunities and literacy skills among primary school aged children. It includes projects to provide primary education services; expand, improve, or develop primary education facilities, materials, and curricula; and conduct research into the dynamics of primary education.

Secondary Education, General

This code includes activities of organized formal (i.e. graded classroom) education to improve general educational opportunities and literacy skills among secondary school aged individuals. It includes projects to improve general secondary education services; expand, improve, or develop general secondary education facilities, materials, and curricula; and conduct research into the dynamics of general secondary education. Secondary education directed to a specific vocational or technical field should be classified as "Secondary Education, Vocational and Technical" (see below).

Secondary Education, Vocational and Technical

This code includes activities of organized, formal (i.e. graded, classroom) education to prepare secondary school aged individuals for employment in industrial and service occupations or in any other of the other development purpose areas. Vocational and technical education at the secondary level should be coded here if it is not known with certainty the development sector in which the educational skills will be applied. For example:

- Vocational and technical education at the secondary level in agriculture should not be coded here but, rather, under "Agriculture Education and Extension."
- Vocational and technical education at the secondary level in accounting or building trades should be coded under "Secondary Education, Vocational and Technical" since the accounting or building skills may, eventually, be used in any number of development purpose areas (e.g. "Primary Roads," "Alternative Energy," or "Food Processing and Storage").

Adult Education, Vocational and Technical

This code includes activities of organized, but not necessarily formal (i.e. it need not be graded or in a formal classroom setting) education to provide adults with the education and skills needed for employment in industrial and service occupations or in any other development purpose areas. Vocational and technical education at the adult level should be coded here if it is not known with certainty the development purpose sector in which the educational skills will be applied. If it is known with certainty which purpose the education will serve, that larger purpose should be coded. For example, training in general health care and nursing skills should be coded "Health Services Education." Similarly, adult in-service education should be coded here if the education is very general. If, however, the education is provided to employees in a given field (e.g. housing construction or transportation) the in-service education should be coded to reflect the given field (i.e. in the two examples, "Housing" and "Transportation Education, Planning, and Administration").

Post-Secondary Education

This code includes activities to improve access to post-secondary education in any field except those provided explicitly under another development purpose (e.g. "Agriculture Education and Extension"). It includes activities that seek to expand, improve or develop post-secondary education facilities; adapt or improve educational materials or curricula; train general post-secondary education teachers; or conduct research into procedures for teaching post-secondary education.

Non-Formal Education

This code includes activities to provide fundamental literacy and life skills training, usually in a classroom setting and usually not graded education. This type of education is typically, but not always, directed to an adult population. It includes activities to improve, expand, or support the delivery of non-formal education services, activities to improve or build non-formal education facilities, activities to develop educational materials (including communication media materials), textbooks, and curricula for non-formal education, and research into the methods for providing effective non-formal education.

Education Planning and Administration

This code includes activities to develop, support or improve LDC Departments of Education, or to improve or support the administration of individual education institutions. It includes projects to train LDC personnel in Education Administration and Planning. It also includes LDC-wide or local education planning, policy analysis, research, and program evaluation.

Education, Other

This code includes activities that are directly related to improving some aspect of the educational system or to improving educational opportunities, yet is not included in the nine categories above. If this category is selected, please make a small notation next to the space for the code to indicate the nature of the activity.

HEALTH

The development purpose codes for health are relatively straightforward, consisting of five specific categories, plus "Health, Other". These codes may often be combined with codes from another major category. For example:

- Example 1: An activity to provide low cost health and family planning services will be coded both "Low Cost Health Care Services" and "Family Planning Services." The dollar amount attributed to each purpose will be determined by the project manager.
- Example 2: An activity to provide control malaria by reclaiming an infested river will be coded both "Communicable Disease Control" and "Water Resources." Relative importance of the disease control aspect and the overall environmental control and improvement aspect will determine how the project costs are assigned to the two codes.

Low Cost Health Care Services

This code includes activities to develop, expand, or improve the delivery of low cost general health services, such as pediatric care, prenatal, postnatal, and obstetrical care, general surgery, general medicine, and other general health services provided in a low cost mode. It includes projects that build or improve health care delivery facilities and systems of delivery, projects that provide health care providers for the direct provision of services, projects that conduct research into general health problems and their resolution, and projects to provide materials and supplies for general medical care delivery. Consumer health education projects (either delivered on a mass media or individual consultation basis) are also included under this code.

Communicable Disease Control

This code includes activities to eradicate or control specific communicable diseases, such as malaria, shistosomiasis, measles, and cholera. It also includes research projects striving to discover or test new means of eradicating or controlling specific diseases.

Sanitary and Potable Water Services

This code includes activities to collect, control, and dispose of human waste and other refuse in a sanitary and safe manner and projects to develop and distribute a potable water supply. It includes research projects to test new methods of waste control, production of usable byproducts from waste products, and methods of improving water potability. Finally, it includes projects to build facilities, such as waste processing stations, plumbing, wells, pipelines, and other facilities necessary to improve sanitation and potable water.

Health Services Education and Training

This code includes activities of organized but not necessarily formal (i.e., not necessarily graded or classroom) education to improve health care delivery skills among current or future health care professionals and paraprofessionals. It includes projects to improve health education services; expand, improve, or develop health education facilities, materials, and curricula; and conduct research into the dynamics of health education.

Health Planning and Administration

This code includes projects to develop, support, or improve LDC Departments of Health or to improve or support the administration of individual health care institutions. It includes projects to train LDC personnel in health administration and planning. It also includes projects involving LDC-wide or local health planning, policy analysis, and program evaluation.

Health, Other

This code includes activities that are directly related to improving some aspect of the health services delivery system or to improving health status, yet is not included in the five categories above. If this category is selected, please make a small notation next to the space for the code to indicate the nature of the activity.

POPULATION PLANNINGFamily Planning Services

This code includes activities to improve, expand, support, or develop family planning services delivery programs. It includes delivery of services to individuals and groups; manufacture, procurement, and distribution of contraceptive devices; establishment of family planning facilities research into the dynamics of family growth and control; and research into the efficacy of various contraceptive techniques. Note that mass media education of actual or prospective family planning clients is included here, not under Family Planning Education.

Family Planning Education

This code includes projects of organized but not necessarily formal (i.e., not necessarily graded or classroom) education to improve the skills of current or potential family planning professionals and paraprofessionals. It includes projects to improve family planning education services for family planning workers; and to expand, improve, or develop facilities, materials, and curricula for training family planning workers.

Family Planning Administration

This code includes activities to develop, support, or improve LDC Departments of Population Planning or to improve the administration of individual family planning institutions. It includes projects to train LDC personnel in family planning administration. It also includes projects involving LDC-wide or local family planning policy analysis and program evaluation.

Family Planning, Other

This code includes activities that are directly related to improving some aspect of the family planning network, yet is not included in the three categories above. If this category is selected, please make a small notation next to the space for the code to indicate the nature of the activity.

ENERGYAlternative Energy Sources

This code includes activities to design, develop, improve, or support the production and distribution of non-traditional energy sources that are alternatives to coal, petroleum products, and nuclear energy. It includes wood, wind, solar, water, and other non-traditional fuels. It includes physical plants, transportation facilities, and other facilities necessary to obtain, process, and distribute the energy. It does not include electrification projects; these are to be coded under Electrification. It also does not include any activities dealing with traditional energy sources; these are to be coded under "Traditional Energy Sources."

Traditional Energy Sources

This code includes activities to design, develop, improve, or support the production and distribution of traditional energy sources, such as natural gas, petroleum products, coal, and nuclear energy. It includes pipelines, transportation facilities, mining operations, and other facilities necessary to obtain, process and distribute fuels. It does not include electrification projects; these are to be coded under Electrification. It also does not include any activities dealing with alternative energy sources. These are to be coded "Alternative Energy Sources."

Electrification

This code includes activities to design, develop, improve, or support electrification services to residential and commercial areas. It includes the construction of dams (used primarily for hydropower), erection of electrical power lines, construction of other generating facilities, and other projects that are designed to increase the distribution of electric services. It also includes research projects to develop new sources of electric power, such as wind and solar energy.

Energy Planning and Administration

This code includes activities to develop, support, or improve LDC capability to manage energy resources. It includes the establishment or support of Energy Departments, assistance in management of individual energy producers or distributors, training LDC personnel in energy management and policy analysis, and conducting energy planning and policy analysis.

AGRICULTURE AND NUTRITION

The codes provided under Agriculture and Nutrition embrace one of the largest development purposes in AID. The codes listed here describe diverse aspects of AID's agriculture and nutrition activities. Most agriculture activities will probably span two or more of these categories. For example:

- Example 1: Agriculture extension service workers assist farmers develop irrigation systems. The dollar amount of the activity will be distributed between the two codes to reflect the relative importance and magnitude of the work to be performed in the two purpose areas.
- Example 2: An activity is designed to improve the local systems for food marketing, distribution, processing and storage. Part of the dollar value will be attributed to the code "Food Marketing and Distribution" and part of the code "Food Processing and Storage."

Agriculture Extension

This code includes all activities designed to help LDC farmers and ranchers make best use of recent developments in the state of the art of agriculture.

Farming Systems Development and Support

This code includes activities designed to help farmers develop and maintain farming systems. This is done through provision of inputs (e.g., credit, fertilizer, and seeds) and also through demonstration and research projects.

Irrigation Systems

This code includes activities to design, develop, improve, or support irrigation systems. It includes the materials and supplies required to build the irrigation system, training LDC farmers or technicians to operate the system, maintaining the system, and planning for the system. It also includes research projects to develop new irrigation technology.

Food Marketing and Distribution

This code includes all activities designed to stimulate, improve, develop, or support the commercial distribution for food products. It includes support and assistance to food marketing cooperatives, food distributors, and retail food outlets, and other means. It does not include the development of farm to market roads which are coded under Roads. It also does not include projects for the free distribution of nutritional supplements which are included under Nutrition Services.

Food Processing and Storage

This code includes all on and off farm activities in which food is processed, stored, preserved, and otherwise prepared for distribution to consumers. It includes building the physical plants for food processing or storage, operating food processing facilities, conducting research into new food processing and preservation techniques and other elements of food processing. Fortification of food with additional nutrients is coded under Nutrition Services. All other processes by which additives are processed into food (e.g., preservatives) are included under this code.

Fertilizer Production and Distribution

This code includes activities to establish, develop, or support fertilizer mining and production operations. It also includes activities to import and distribute fertilizer

to or within the LDC. It also includes research projects for developing and testing new fertilizer types or fertilizing techniques.

Land Tenure and Land Reform

This code includes all activities designed to change the land tenure policies of the LDC towards greater equity among all citizens, particularly the poor. It also includes supporting LDC institutions and agencies whose major mission is to promote land tenure and land reform, and supporting or developing programs of land settlement and re-settlement.

Agriculture Education

This code includes activities of organized formal (i.e., graded, classroom) education to improve the ability of agriculture professionals. Training of farmers should be coded under "Agriculture Extension." It includes activities to improve agriculture education services; expand, improve, or develop agriculture education facilities, materials, and curricula; and conduct research into the dynamics of agriculture education.

Agriculture and Rural Program Management

This code includes all activities that develop, improve, or support the administration of LDC agriculture and rural development programs. It includes, for example, establishment and support of a Department of Agriculture or a Department of Rural Development and other activities necessary to improve LDC ability to administer agriculture and rural development programs. It also includes evaluation of agriculture and rural development programs and training LDC personnel.

Forestry and Fishing

This code includes activities to develop, improve, or support timber tracts, tree farms, forest nurseries, and fishing operations, including crabbing, lobstering, clamming, and the gathering of sponges and seaweeds. It also includes operation of fish hatcheries and fish preserves. Activities that provide necessary mechanical, biological, chemical, and informational (e.g. extension) inputs to forestry and fishing operations, as well as related research are included. Activities designed solely to provide firewood and charcoal should be coded under "Alternative Energy Sources."

Nutrition Services

This code includes activities to improve the nutritional habits of individuals through mass media consumer education campaigns and individual consultation. It also includes projects to improve the nutritional content of the diet through such techniques as supplemental feeding, school lunch programs, and distribution of surplus food. Research projects to improve the nutritional content of crops and livestock products (either through breeding or fortification) are also included under this code.

Nutrition Planning and Administration

This code includes activities to support LDC planning and administration of nutrition policies and programs, including policy formulation and analysis, program analysis and evaluation, and training of LDC officials in nutrition planning and administration.

Agriculture and Nutrition, Other

This code includes activities that are directly related to improving some aspect of the agriculture and nutrition sector, yet is not included in the nine categories above. If this category is selected, please make a small notation next to the space for the code to indicate the nature of the activity.

MANAGEMENT AND CONSERVATION OF NATURAL RESOURCES

Land Resources

This code includes activities to preserve, protect, or reclaim forest lands, soil, minerals, wildlife, and other land-related natural resources. It includes soil surveys and tests; establishment of wildlife sanctuaries, protected species, and other wildlife conservation procedures; terracing, leveling, planting, and other soil erosion control projects; and other land and land-related resource conservation projects, as well as research related to land conservation techniques.

Water Resources

This code includes activities to preserve, protect, reclaim, or manage fresh and salt water resources, including the fish and plantlife naturally occurring in the water. This code includes dams if the dams are used for flood control; dams used primarily for producing electricity are included in Electrification; dams used primarily for irrigation are included in Irrigation Systems. It also includes research projects related to water conservation.

Air Resources

This code includes activities to preserve, protect, or clean the air. It includes development or supply of air pollution control devices, research to develop new air pollution control devices, air quality surveys, and other services and equipment necessary to achieve or maintain a clean air supply.

Management and Conservation of Natural Resources, Other

This code includes activities that are directly related to improving or protecting a natural resource or the environment, yet is not included in the three categories above. If this category is selected, please make a small notation next to the space for the code to indicate the nature of the activity.

MANUFACTURING, INDUSTRY AND SERVICES

This code includes activities to encourage, support, or develop LDC manufacturing and other industrial production. It also includes projects to develop, support, or encourage the services industries in LDCs.

HOUSING

This code includes all activities to develop, improve, or maintain residential buildings. It includes architectural and planning services, supplies and equipment, and other financial and technical support required to build residential buildings. Construction of emergency shelters is coded under Disaster Assistance. This code also includes projects to improve or support LDC administration of housing programs.

FINANCE AND TAXATION

This code includes all projects to develop and support financial institutions, including banks, credit unions, cooperatives, commodity exchanges, security exchanges, and other investment companies. It also includes projects to develop LDC financial and taxation policies and financial management capability. (Note: This code includes projects that are primarily to support the finance industry, *per se*, regardless of the other development sectors that might benefit from the increased availability of financing and credit. On the other hand, if access to credit is an incidental aspect of a project in another sector, that project should be coded according to the primary sector. For example, a project to build an irrigation system will require joint LDC and AID financing. The financing is necessary for the completion of the project but, nonetheless, the project should be coded under Irrigation System.)

COMMUNICATIONS

This code includes all activities to design, develop, improve, or maintain communication systems, such as radio, telephone, telegraph, television, and print media. It includes building the physical plants for such communication systems, maintaining or operating the systems, and conducting research into new types of communications systems appropriate for LDC use. This classification does not include projects in which communication of information is incidental. For example, a project to broadcast information about family planning services via radio should be coded under Family Planning Services unless a significant aspect of the project is the development of the radio communication system.

TRANSPORTATIONPrimary Roads

This code includes projects to plan, develop, improve, or maintain primary roads and highways. It includes the construction of primary roads, provision of capital equipment for construction of primary roads, provision of technical assistance in planning primary roads, and other services related to primary road construction or maintenance.

Secondary and Tertiary Roads

This code includes projects to plan, develop, improve, or maintain secondary or tertiary roads and highways. It includes the construction of secondary or tertiary roads, provision of capital equipment for construction of secondary or tertiary roads, provision of technical assistance in planning secondary or tertiary roads, and other services related to secondary or tertiary road construction or maintenance.

Other Transportation Infrastructure

This code includes activities to develop, support, or improve transportation services, including providing rail, air, water, and road transportation services. This code also includes the development, provision, or maintenance of transportation vehicles, such as wagons, cars, trucks, railroads, cars, and ships.

Transportation Planning and Administration

This code includes activities to support, develop, or maintain LDC overall capacity to plan, develop and administer transportation systems. It includes support to LDC Departments of Transportation and research into transportation methods.

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DISASTER ASSISTANCE

This code includes all activities to ameliorate the immediate impact and other effects of disasters, such as floods, famines, earthquakes, and other disasters. Projects designed to relieve disaster victims are included under this code, regardless of the nature of the assistance. For example, emergency shelter projects are included here, not under "Housing." Emergency medical care for disaster victims is included here, rather than in "Low Cost Health Care Services."

REFUGEE ASSISTANCE

This code includes all activities to aid and assist refugees. Projects designed to relieve refugee groups are included under this code, regardless of the nature of the assistance. For example, shelter for refugees is included here, not under "Housing." Medical care for refugee groups is included here, rather than under "Low Cost Health Care Services."

CAPACITY BUILDING

US INSTITUTIONS

This code includes all activities to provide support to US institutions so that they may increase their capacity to provide development support in specified or multiple areas.

LDC Institutions

This code includes all activities to provide support to LDC institutions, including governmental institutions (at the country or municipal level), universities, and other institutions to improve their overall ability to manage development activities.

Other Institutions

This code includes all activities to provide general capacity building support to non-US and non-LDC institutions (e.g., PVOs) to improve their ability to provide development and other assistance to LDCs. It also includes activities of general funding support for unspecified purposes that cannot be classified more clearly into one of the categories above (e.g., "Low Cost Health Care Services" or "Family Planning Services").

Self-Help

This code includes all activities to provide general funding to LDC institutions for unspecified purposes so that the LDC institution may pursue a self-determined course of action.

question of how the codes will be used to classify financial data about each activity. There are two aspects to this question:

- First, how will the financial data be coded within each of the four characteristics (i.e., within the development purpose, the target population, the implementor, and the implementation mode)?
- Second, how, if at all, will the financial information related to one characteristic (e.g., development purpose) be related to the financial information about another project characteristic (e.g., target population)?

A number of options are available. The following paragraphs describe the alternatives and recommend the one we feel best satisfies all coding system objectives.

(1) Coding Options Within Each Of The Four Characteristics

Within each of the four characteristics (development purpose, target population, implementor, and implementation mode), there are numerous options for coding dollar amounts. The four that are the most practical, and therefore which were given considerable attention during the study, are illustrated in Exhibit III-3. The exhibit codes a hypothetical \$500,000 project using each of the four approaches.

- OPTION 1: MUTUALLY EXCLUSIVE CODING ADDING TO 100 PERCENT OF THE TOTAL COST: This option results in the most precise and flexible data for each characteristic. It also is the most difficult and complex option, as some degree of cost allocation is required. In addition, this option creates difficulty in tracking costs from the planned through the expenditure stages. Two methods are available to address this problem:
 - The relationship between the amounts coded into each descriptor (i.e., the percentage) can be assumed to hold with respect to all financial reporting stages. For example, if 50 percent of the cost is coded to the development purpose "Low Cost Health Care Services" during the ABS stage, 50 percent of all subsequently reported financial

CODING OPTIONS WITHIN EACH OF THE FOUR CHARACTERISTICS

CODING FOR HYPOTHETICAL PROJECT TOTTALLING \$500,000 (Expressed in 000s)

OPTION 1: MUTUALLY EXCLUSIVE CODING ADDING TO 100% OF PROJECT COST			
DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
OPTION 2: 100% CODING TO EACH RELEVANT DESCRIPTOR			
DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
OPTION 3: 100% CODING TO PREDOMINANT DESCRIPTOR			
DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
OPTION 4: LESS THAN 100% CODING TO THE MOST IMPORTANT CODE ITEMS (i.e. Costs Not Coded Default to "Other" Category)			
DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE

information will be assumed to relate to "Low Cost Health Care Services."

- Each financial reporting stage can be coded anew, i.e., codes can be adjusted at the ABS, CP, PP, implementation (expenditure reporting) stages.
- OPTION 2: 100 PERCENT CODING TO EACH RELEVANT DESCRIPTOR: This approach is very simple and requires no discretion on the part of the coder. This approach does not, however, provide detailed cost information about the project. It will identify projects with certain features, but will not quantify the dollar amounts spent on those features.
- OPTION 3: 100 PERCENT CODING TO A PREDOMINANT DESCRIPTOR: This approach requires some discretion in identifying the predominant descriptor, although no cost allocation is required. Many aspects of the project will not be revealed by this coding approach.
- OPTION 4: LESS THAN 100 PERCENT CODING TO THE MOST IMPORTANT CODE ITEMS: This approach captures only information related to code items of special concern. The portions of projects that are not related to a topic of prime interest are not coded and, collectively, fall within an unspecified "other" category.

One coding option must be selected for each of the four characteristics. Of course, the four characteristics need not be coded alike, or a different approach can be used at different stages in the evolution of an activity.

(2) Options For Relating The Codes For All Four Characteristics

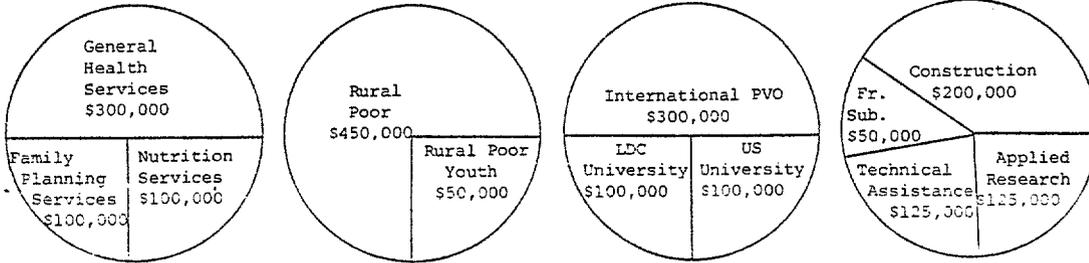
There are also several ways in which the financial information coded for each of the four characteristics can be related to the information coded into the other characteristics. Exhibit III-4 illustrates the most obvious approaches. These approaches vary in complexity and in their responsiveness to questions about the project.

THREE OPTIONS FOR RELATING CODED DOLLAR AMOUNTS AMONG THE FOUR CHARACTERISTICS

OPTION A: CODING WITHOUT REGARD TO THE RELATIONSHIP AMONG THE CHARACTERISTICS

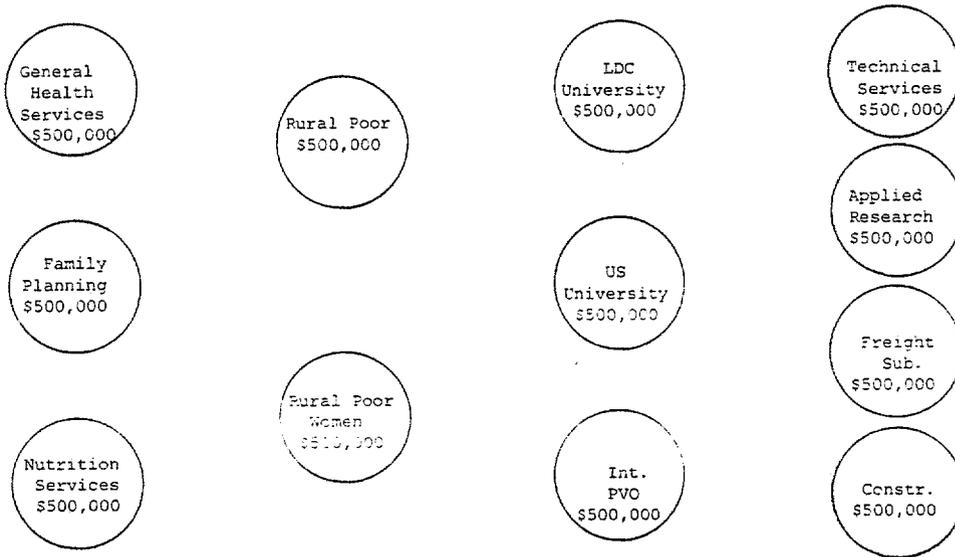
Suboption A-1: Mutually Exclusive Coding Within Each Characteristic

DEVELOPMENT PURPOSE TARGET POPULATION IMPLEMENTOR IMPLEMENTATION MODE



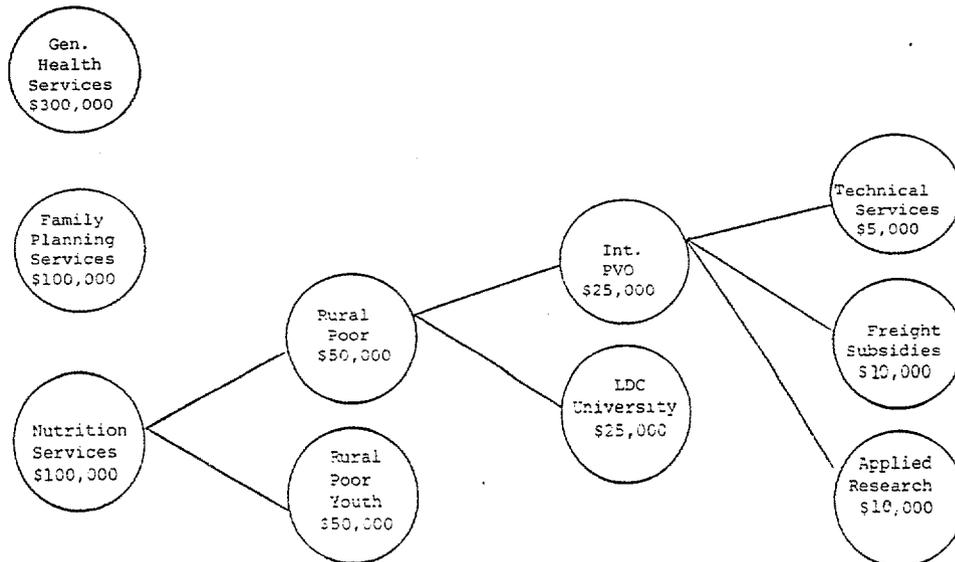
Suboption A-2: 100 % Coding to Each of the Relevant Descriptors within the Characteristic

DEVELOPMENT PURPOSE TARGET POPULATION IMPLEMENTOR IMPLEMENTATION MODE



OPTION B: MAKING THE RELATIONSHIP AMONG THE CHARACTERISTICS EXPLICIT IN THE CODES

DEVELOPMENT PURPOSE TARGET POPULATION IMPLEMENTOR IMPLEMENTATION MODE



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OPTION C: MAKING THE RELATIONSHIP BETWEEN THE PRIMARY CHARACTERISTIC (in this example, the Development Sector) AND THE OTHER CHARACTERISTICS EXPLICIT IN THE CODES

DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE					
<p>General Health Services \$300,000</p>	<p>Rural Poor \$300,000</p>	<p>International PVO \$200,000</p> <hr/> <p>LDC Univ. \$50,000 US Univ. \$50,000</p>	<table border="1"> <tr> <td>Constr. \$200,000</td> <td>Applied Research \$35,000</td> </tr> <tr> <td>Technical Services \$45,000</td> <td>Freight Subsidies \$20,000</td> </tr> </table>	Constr. \$200,000	Applied Research \$35,000	Technical Services \$45,000	Freight Subsidies \$20,000	
Constr. \$200,000	Applied Research \$35,000							
Technical Services \$45,000	Freight Subsidies \$20,000							
<p>Nutrition Services \$100,000</p>	<table border="1"> <tr> <td>Rural Poor \$50,000</td> </tr> <tr> <td>Rural Poor Youth \$50,000</td> </tr> </table>	Rural Poor \$50,000	Rural Poor Youth \$50,000	<p>International PVO \$50,000</p> <hr/> <p>LDC University \$50,000</p>	<table border="1"> <tr> <td>Freight Sub. \$30,000</td> </tr> <tr> <td>Applied Research \$40,000</td> </tr> <tr> <td>Technical Services \$30,000</td> </tr> </table>	Freight Sub. \$30,000	Applied Research \$40,000	Technical Services \$30,000
Rural Poor \$50,000								
Rural Poor Youth \$50,000								
Freight Sub. \$30,000								
Applied Research \$40,000								
Technical Services \$30,000								
<p>Family Planning Services \$100,000</p>	<p>Rural Poor \$100,000</p>	<p>International PVO \$50,000</p> <hr/> <p>US University \$50,000</p>	<table border="1"> <tr> <td>Technical Services \$50,000</td> </tr> <tr> <td>Applied Research \$50,000</td> </tr> </table>	Technical Services \$50,000	Applied Research \$50,000			
Technical Services \$50,000								
Applied Research \$50,000								

- OPTION A-1: CODING WITHOUT REGARD TO THE RELATIONSHIP AMONG THE CHARACTERISTICS, MUTUALLY EXCLUSIVE CODING WITHIN EACH CHARACTERISTIC: Using this approach, one can determine the amounts allocated to any development purpose, to any target population, to any implementor, or to any implementation mode. One could not, however, answer questions about the amount allocated within a given development purpose to a specific target population. Nor could one determine the amount allocated to a specific implementor for one of the specified implementation modes.
- OPTION A-2: CODING WITHOUT REGARD TO THE RELATIONSHIP AMONG THE CHARACTERISTICS, 100 PERCENT CODING TO EACH RELEVANT DESCRIPTOR WITHIN EACH CHARACTERISTIC: Using this approach, one can identify the projects which address any of the project characteristics, but cannot identify a discrete dollar amount associated with the characteristic.
- OPTION B: MAKING THE RELATIONSHIP AMONG THE CHARACTERISTICS EXPLICIT IN THE CODES: This approach produces the most detailed and flexible information about each project. One can ascertain, for example, the funds allocated within each development purpose to each target population; within each implementor to each implementation mode; within each target population for each implementation mode; and so on. Of course, this option presents the most difficulty for coding.
- OPTION C: MAKING THE RELATIONSHIP BETWEEN THE PRIMARY CHARACTERISTIC AND THE OTHER CHARACTERISTICS EXPLICIT IN THE CODING: This approach is a compromise between Option A-1 and Option B. In this approach, the funds for the activity are first allocated to the primary activity characteristic; the example in Exhibit III-4 assumes that the development purpose is primary, although any of the four project characteristics can be coded as primary. Once the overall dollar amount of the project is allocated to the primary code, the dollar amount for each of the primary codes is further distributed to the remaining three characteristics. The distribution to the remaining three characteristics, however, is made on the basis of Option 2, a far simpler option. As a result, one can determine from the codes the

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the target population, the implementor, and the implementation mode for each development purpose. One still cannot determine the relationship between the implementation mode, the target population, and the implementor, however.

Each of the options discussed in this chapter has certain theoretical merits and disadvantages. Discussions with Agency staff reveal that each option also has some practical implications that argue for or against their implementation. The results of these discussions and analyses are the following recommendations:

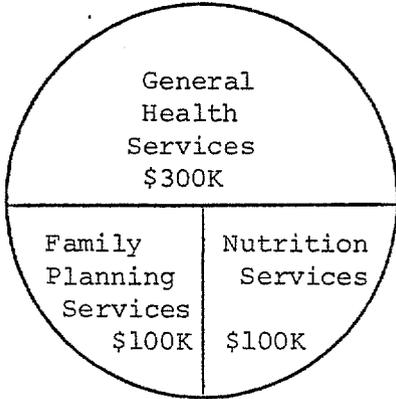
- DEVELOPMENT PURPOSE, IMPLEMENTOR, AND IMPLEMENTATION MODE should be coded:
 - First, information about each of the three characteristics should be coded using Option 1: Mutually Exclusive Coding Adding to 100 Percent of the Total Cost. At the earliest design stages, Option 4: Less Than 100 Percent Coding to the Most Important Code Items should be employed, recognizing 1) that in the early stages, many details will not be known and 2) that, nonetheless, some topics are of such special interest that educated guesses are justified.
 - Second, the information about each of the three characteristics should not be explicitly linked and Option A-1 should be employed.
- TARGET POPULATION should be coded according to Option 2: 100 Percent Coding to Each Relevant Descriptor. This approach is recommended because it is more difficult to describe mutually exclusive target population categories than it is to describe mutually exclusive categories for the other three characteristics.

Exhibit III-5 illustrates how an activity can be coded using the recommended options. Just how these coding options fit into the overall systems operation is described in the following sections.

EXHIBIT III-5

HYPOTHETICAL PROJECT CODED
USING RECOMMENDED OPTIONS

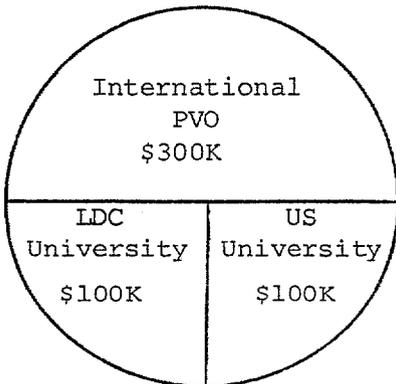
DEVELOPMENT
PURPOSE



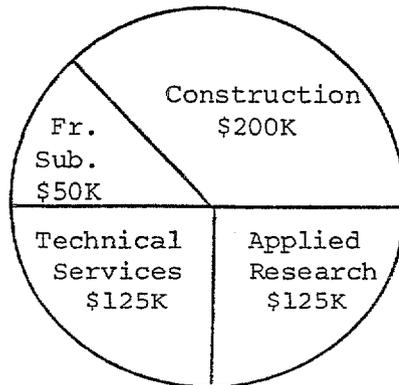
TARGET
POPULATION

	YES	NO
Rural Poor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Women	<input checked="" type="checkbox"/>	<input type="checkbox"/>

IMPLEMENTOR



IMPLEMENTATION
MODE



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2. PROPOSED SYSTEMS CONFIGURATION PROVIDES AN INTEGRATED DATA BASE FOR PROJECT AND NON-PROJECT ACTIVITIES

This section describes the proposed conceptual systems configuration for gathering coded financial data. This recommended approach is based on our evaluation of current systems and the expressed information needs of the AID personnel interviewed during the study. Chapter IV describes how this proposal impacts on current systems, and outlines the required systems modifications.

At this time, fold out Exhibit III-6 following page III-14. The Exhibit should be referred to as the narrative is read:

- (1) AID ASSISTANCE INFORMATION SYSTEM--this is a new term used to describe the family of information systems which provide information on AID assistance activities. In the Exhibit, these systems are bordered by a heavy dark line. The components of these systems include:
 - (2) Program Budgeting Data System
 - (3) Country Program Data Bank
 - (4) Project Accounting Information System
 - (5) New General Accounting System
 - (6) Development Information System
- The two processes shown within broken lines represent the two major AID processes which feed and interact with the information systems. They are:
 - (A) Budgeting Process
 - (B) Activity planning, approval implementation and evaluation process

The following sections describe how data flow through these processes and are entered into and manipulated by the component systems of the AID Assistance Information System.

(1) AICS Information Will Be Captured Similarly For All Project And Non-Project Activities

The stages reflected within the broken lines assume that all assistance activity, both project and non-project, will be processed in a similar manner. AICS

information will be collected for all activities in the same or similar forms; each project and non-project activity will have a unique project number. The detailed procedures for accomplishing this integration will be established next year by PPC.

(2) The AICS Information Is First Coded On The ABS
By The Originating Office

All assistance activities will be coded at the time of ABS, usually for the first time.* The key steps in this coding process include:

- The originating office--either the mission or AID/W--will have the initial responsibility for providing AICS codes. Geographic Bureau-level staff can, however, override the mission-applied codes when such changes are necessary due to a change in scope or nature of the project or a perceived misinterpretation of the codes.
- At the time of the ABS, the AICS codes will be applied as follows:
 - For new activities (i.e., for activities that are submitted in the ABS for the first time during that fiscal year and, thus, are probably less well developed): Development purpose codes will be applied for two years (the operational, and the budget) and for the life of project total costs. Codes for selected Target Population, Implementor, and Implementation Mode (i.e., those corresponding to special concerns for that year) will be coded if known.** It is estimated that between 20 and 40 percent of the activities in the ABS each year are "new" and, thus, incomplete AICS codes will be associated with between 20 and 40 percent of the ABS projects.
 - For activities which were in the past ABS or which have an approved PP (i.e., "older

*On rare occasions, an approved PP may precede the first ABS submission and, in these cases, the codes on the approved PP will be the first AICS codes entered into the data base.

**Most AID respondents agreed that complete coding of these three AICS elements was not feasible at the first ABS because the activity is still taking shape. The codes for these three categories will be updated and completed when the PP is approved.

activities") and, thus, for which CPDB contains at least partial AICS codes, the originating office will receive a computerized copy of the AICS codes and other ABS-required data. The information on this computer-generated ABS submission will be reviewed and updated, as necessary, then resubmitted for inclusion in the current ABS. It is estimated that between 60 and 80 percent of all activities fall within this category.

The relationships among the AICS codes applied or updated on the ABS submission will be assumed valid throughout the budgeting process unless:

- At the discretion of either the originating office, or the cognizant Geographic Bureau, a decision is made to update the codes for subsequent steps in the budgeting process
- An approved project paper is received during the budgeting cycle which affects the codes shown on the ABS

The form on which codes are applied will replace the Table X (Special Concerns) and Table VI (functional sub-categories). The AICS coding data for each discrete activity will be entered into the Program Budgeting Data System. This information will serve as the basis for completion of the additional steps in the process--Bureau Submission, OMB Submission, President's Budget, Final CP, and OYB.

(3) The PID And The PP Facesheet Will Not Contain AICS Information

The PID and the PP Facesheets will continue to provide information for monitoring the activity planning process. They will not, however, be coded with AICS information. PIDs and PPs will contain only the items shown below:

- PID
 - Project Number and Title
 - Country/Entity
 - Bureau Code

- Estimated FY Obligation
- Estimated Costs (Through Life of Project)
- Proposed Budget (Through Life of Project)
- Appropriation by Loan/Grant
- Goal and Purpose Statements (not codes)

● PP

- Project Number and Title
- Country/Entity
- Bureau Code
- Estimated FY of Completion
- Estimated Date of Obligation
- Estimated Costs (Through Life of Project)
- Proposed Budget (Through Life of Project)
- Appropriation by Loan/Grant
- Evaluation Schedule

This information will be entered and stored in Country Program Data Bank in the same manner that is currently employed. Thus, CPDB will continue to provide tracking information for the assistance planning process, but will not require AICS information until the project has been clearly defined and approved.

(3) AICS Codes On An Approved PP Will Override The ABS Coding

Once a project is approved, another PP approval form will be submitted to CPDB by the approving office. Unlike the regular PP facesheet, this approved PP form will *include* AICS information, and information contained on the original PP facesheet will be updated to reflect changes since PP submission. Specifically, the following processes will be required:

- Within the Project Paper (not the facesheet) a table, or set of tables, will describe the

AB

purpose, target population, implementor, and implementation mode, in terms of the AICS codes. This information will *not* be entered into CPDB.

- The approving office will analyze this AICS information to determine if it accurately reflects the PP, as approved.
- The approved PP form will then be completed by the approving office:
 - AICS codes will be entered
 - Information on the original PP Facesheet that has changed since PP submission will be updated.

Once the information is provided for an approved PP and input to CPDB, AICS codes will be matched against the AICS codes already in PBDS (i.e., those provided with the ABS submission). The coding and dollar amounts will then be compared to determine if there is a difference. If a difference occurs, the following steps will be taken:

- A listing will be printed out by CPDB for review by the Bureau or originating office.
- The Bureau or originating office will review the differences and indicate whether or not the PBDS files should be updated to reflect the changes or if the Approved PP Facesheet should be changed.
- Based on results of this review, the files will be updated appropriately.

This procedure will provide a continuous cross-verification of CPDB and PBDS.

(4) Codes Can Be Modified Throughout The Budgeting Process

Although mandatory coding will only be performed at ABS and approved PP stages, PBDS will have the capacity to accept modification or additional codes at any time in the budgeting process. The decision to recode or add codes for new projects will be at the discretion of the Bureau or originating office.

(5) Once An Activity Is Approved And Funded, Accounting Information Will Be Accumulated In PAIS

The processes, forms, and systems currently used by PAIS to accumulate accounting information about mission-funded projects will not change. In addition, consistent with the Conceptual Design for the General Accounting System, PAIS will be modified to account for non-project assistance and for AID/W project assistance. The Financial Analysis and Reporting Module of GAS will accumulate financial information for all project and non-project activities. This module will also produce a monthly computer tape for input to PAIS. Activities in PAIS and GAS will be linked to the activity data based in PBDS, CPDB, and DIS by unique project numbers. PAIS and GAS will not contain the AICS information but will be able to access CPDB to retrieve this information.

(6) The Development Information System (DIS) Will Be Affected Minimally By The Changed AICS Codes

The Development Information System will not be affected significantly by the revised codes. The DIS software will experience only minor modifications; the capability of searching for projects on the basis of the current AICS technical codes will be lost, but replaced by the revised AICS codes which can also facilitate searches; and the more complete activity files in PBDS and CPDB will enable DIS to determine whether its own system contains records on all active projects.

(7) Historical Data Will Be Maintained In CPDB

Once the CP is completed for a given year, data contained in PBDS will be purged and shifted to CPDB. Historical records maintained in CPDB will include:

- Bureau Submission
- Final ABS
- OMB Submission
- Final CP
- Operational Year Budget

These records will contain detailed AICS information for each project.

(8) All Systems Will Be Linked By A Unique Project Number

Activities described in all systems (PBDS, CPDB, PAIS, GAS, and DIS) will be linked by a unique project (non-project) number. This linkage will enable a user of the overall system to retrieve information on the total life of a project--from the initial PID submission to the final evaluation.

To ensure that project numbers are unique and appropriately applied, a new approach for issuing and controlling these numbers must be established. We recommend that this numbering system be lodged in PPC, or FM.

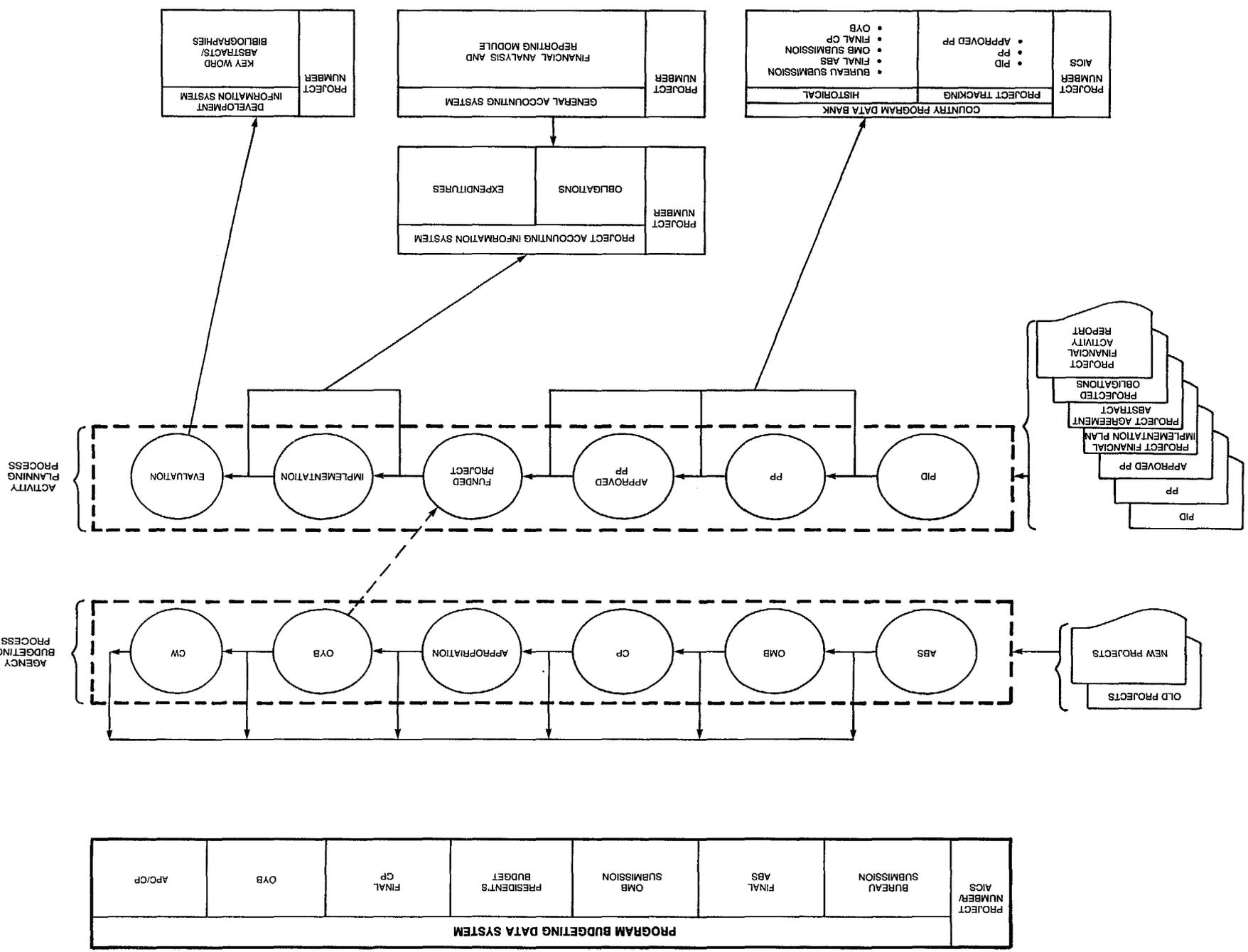
(9) A Random Sample Of Projects Will Be Verified Annually To Determine If AICS Information Is Correct

To ensure that the AICS information is applied properly, a random sample of projects in or past the PP approval stage will be verified. This will be accomplished as follows:

- PBDS will select a random sample of projects submitted in the ABS which have approved PPs (as indicated by CPDB).
- PPC personnel will review the sample by comparing the coded information to the actual Project Paper.
- Significant discrepancies will be discussed directly with the originating office to determine the reasons for the discrepancies and to revise the codes, if necessary.

AID (ASSISTANCE) INFORMATION SYSTEM

ACCESS KEYS: PROJECT NUMBER, AICS, AND KEY WORD



PROJECT NUMBER/AICS	BUREAU SUBMISSION	FINAL ABS	OMB SUBMISSION	PRESIDENT'S BUDGET	FINAL CP	OVB	APC/CP
PROGRAM BUDGETING DATA SYSTEM							

IV. IMPACT ON EXISTING SYSTEMS

This chapter presents a brief description of the current systems that will be affected by the conceptual configuration presented in Chapter III, and an analysis of the impact on these systems.

1. CPDB, PBDS, AND PAIS WILL BE MOST AFFECTED BY THE PROPOSED CONFIGURATION

The three systems most relevant to this study, CPDB, PBDS, and PAIS, have been modified to varying extents since they were developed and initially documented. Some of the documentation has been revised to reflect these changes; others have not. In general, however, existing system documentation was not adequate to gain a clear understanding of how the systems presently operate. For this reason, we interviewed systems specialists in Data Management (SER/DM) and in PPC to determine how each system was presently configured, which source documents were presently being used for input, and which files were maintained. Exhibit IV-1 presents an overview of the current systems. It is located in the back of this chapter and can be folded out for reference at this time.

(1) Several Input Documents And Historical Files Have Been Dropped From CPDB

Of the six source documents which were initially used as input to CPDB, only two are still being used. These two documents, the PID Facesheet and the PP Facesheet, contain planning information critical to the ABS, OMB, and CP submissions, and to the special reporting requirements mandated by Congress. Data from these documents are stored in the PBAR Database and include the following key elements:

- Bureau/Office Code
- Project Number
- Project Title
- Stage of Planning Process
- Estimated Costs
- Primary Purpose Code
- Primary Technical Code

- Secondary Technical Code
- Secondary Purpose Code
- Special Concern Code

Because the PBAR Database is the only file which stores a comprehensive set of codes for each project, it provides the codes--via a project number or other key field linkage--for PAIS and PBDS. Moreover, it is the only file which contains Life of Project (LOP) information.

Conceived as the project planning and history system, CPDB has been configured to maintain historical and project files through the funding authorization. Presently, however, the history files of the ABS and CP submissions are not being updated because the ABS/CP Summary forms are no longer in circulation.

(2) PBDS, As The Agency's Budgeting System, Undergoes Significant Changes Each Year

Since the advent of Zero-Base Budgeting, the Agency's budgeting process has undergone a great deal of change. Understandably, PBDS and the tables which are used as input documents reflect this dynamic environment. This situation, however, makes it difficult to assess the implications of a new coding system on PBDS.

In spite of this transience, PBDS maintains individual budget files for use as working files by the bureaus and for preparation of the ABS, OMB, and CP submissions. Tables I, IV, V, and X are used as input documents, creating one record for each table input. Presently, only four tables are required for generation of all the ABS tables:

- Table I-Long Range Plan By Appropriation Account
- Table IV-Project Budget Data
- Table V-Program and Project Ranking
- Table X-Special Concerns

Data from Tables I, IV, and V are maintained in individual bureau files. Key elements in this database are:

- Project Number
- Table Number

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- Bureau/Office Code
- Decision Unit
- Appropriation
- L/G Indicators
- Estimated Costs
- Obligations

The special concerns database is also divided along bureau lines and is used as a working file for the ABS and OMB submissions. The sub-category table has been dropped from this year's ABS; therefore, only last year's sub-category file exists in PBDS.

PBDS combines the individual budget files to generate the ABS and OMB submissions. For the CP stage, PBDS modifies the information in the combined budget file and links to the PAIS system. The CP file recently generated still resides in PBDS; however, discussion has taken place regarding transferring the file to CPDB.

(3) PAIS Is Largely An Independent System

Concerned with maintaining an account of planned and actual obligations and expenditures for AID projects worldwide, PAIS stores information provided by four documents designed specifically for an accounting system:

- Project Agreement Abstract
- Project Financial Implementation Plan
- Project Financial Activity Report
- Projected Obligations

PAIS checks the project number of these accounting documents against the CPDB PBAR file before the information can be added to the database. If a PID was never submitted, PAIS rejects the input and initiates action to get PID information into CPDB. Other than this dependency, PAIS operates fairly independently and efficiently.

(4) Linkage Among The Systems Is Possible, But Difficult

Generally, all of the systems are keyed by project number, consisting of a three-digit geographic or decision unit code and a four-digit sequential number. Theoretically,

then, there is a linkage mechanism to select specific records and retrieve information from all systems. The main difficulty in accomplishing this is associated with the incompatibility of different-structured databases in INQUIRE. Specifically, a keyed retrieval from a project record with repeating fields cannot be easily linked to a keyed retrieval from a file with multiple project records. Retrieval based on other selection criteria is also difficult due to the following:

- The special concerns codes stored in CPDB and PBDS are not consistent.
- Titles are not routinely maintained.
- Individual bureau files are not labeled consistently with the bureau's geographic code.
- The PBDS Special Concerns File is in sequential number order rather than in project number order.

As a result of these constraints, macros (system procedures) have been generated to link the systems. Rather than having the requesting system extract information based on a selection criterion, the project numbers from the requesting system are passed through the entire database of the system from which information is desired. This process is cumbersome, inefficient, and certainly not easy for the non-systems user.

2. IMPLEMENTATION OF A NEW AICS CODING SYSTEM WOULD NOT REQUIRE A MAJOR DISRUPTION TO THE EXISTING SYSTEMS

One of the significant features of the proposed system is the structured manner with which the AICS codes would be input, maintained, and accessed. Data input would be accomplished by the submissions of the revised Table X, to be labeled the "AICS Table." Like the other table submissions, this PBDS file could be queried and updated by the originating bureau.

By limiting input to a single source document and by enhancing system interfaces, consistency of the codes would be ensured. An overview of the proposed document flow and system interface can be found in Exhibit IV-2 which is located behind Exhibit IV-1 at the end of the chapter.

Additional programming would be required to transfer the codes to the PBAR database. Also, cross-verification should take place

at certain junctures:

- When the approved PP is submitted
- When the PP data differs from the ABS, OMB, or CP, prior to their release
- When reports generated from the previous year's ABS files are printed for the bureaus in order to minimize their effort in preparing the new year's submissions.

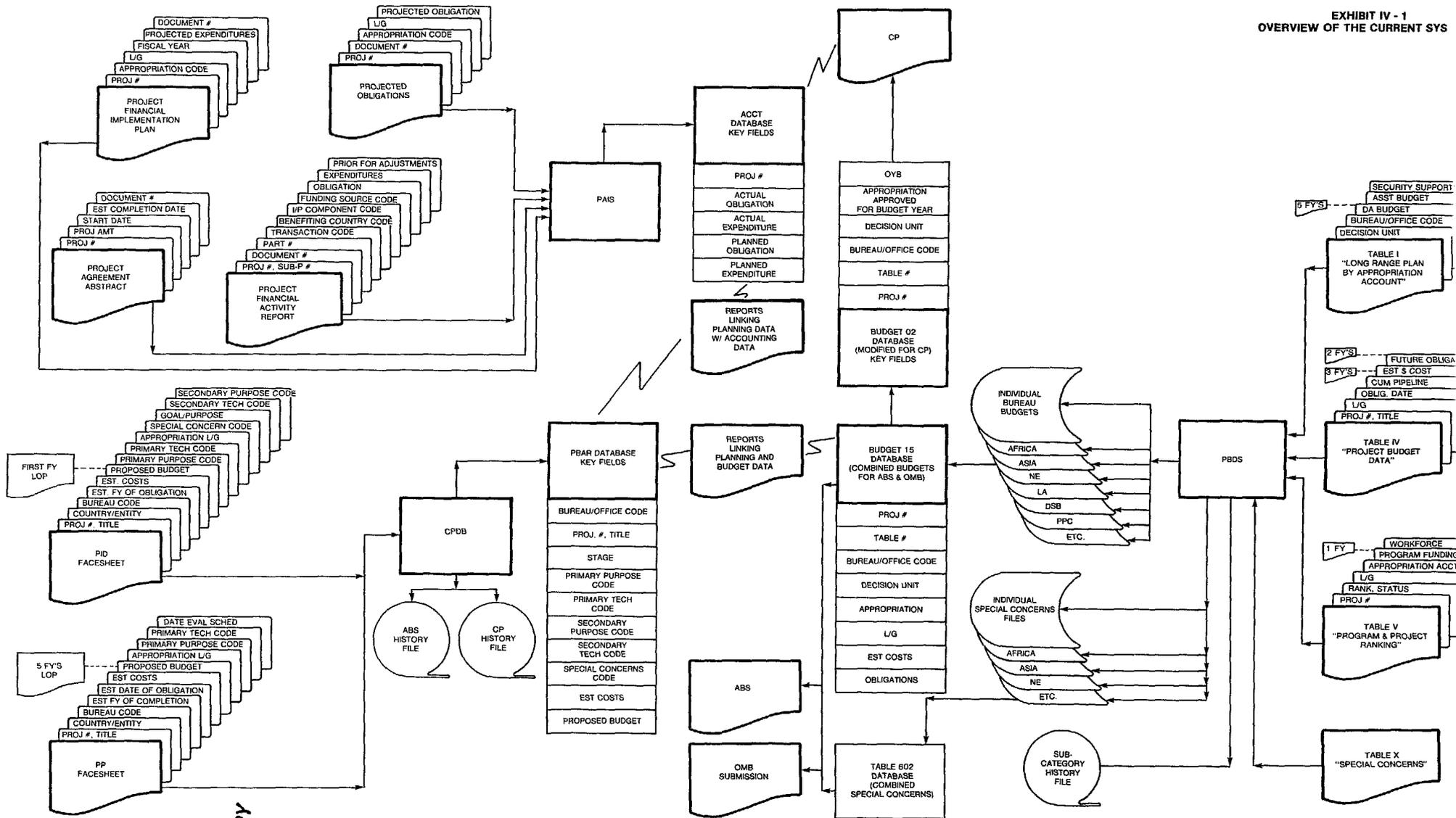
A second significant feature is the provision of history files for the major budgeting steps:

- Bureau submission ABS
- Final ABS
- OMB Submission
- CP

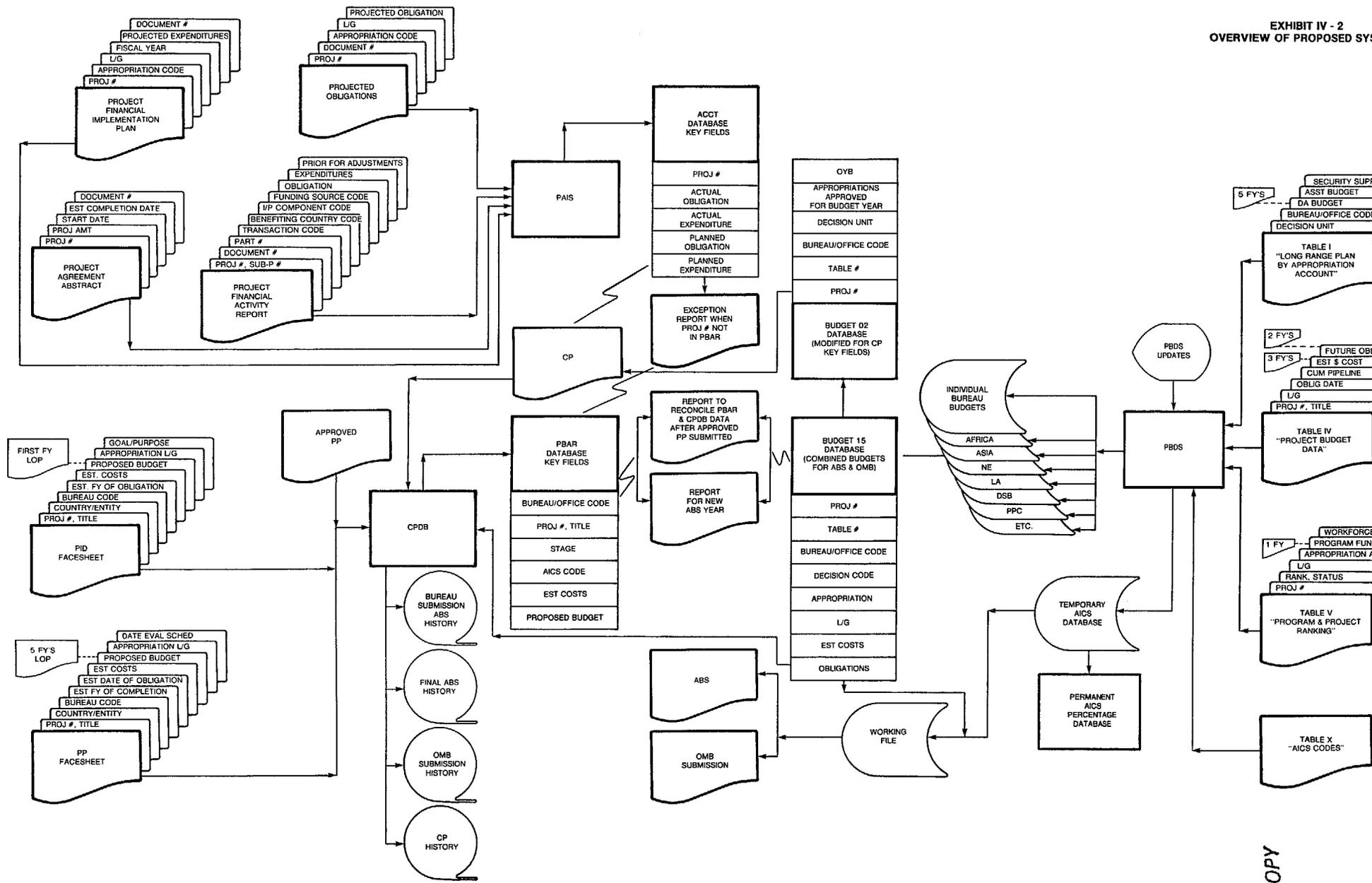
These history files would be maintained by CPDB. The system would also store the AICS codes in the PBAR Database and link to PAIS for project number verification. While the AICS codes would originally reside in PBDS, they would only be maintained by the system while one of the budgeting steps was in process. Subsequent to the publication of the submission, only the percentages would be maintained. As stated above, the PBAR Database would reflect the most recent AICS codes, and therefore would provide the key to a well-integrated planning, budget and accounting system. While this will likely entail some restructuring of the databases and some reprogramming, the integrity of the key linkage among the systems can be ensured.

The changes described in this section and detailed on Exhibit IV-2 will require some work in reprogramming and in rearranging of the ways in which data are input. The next chapter describes the implementation plan required to implement the proposed changes.

EXHIBIT IV - 1
OVERVIEW OF THE CURRENT SYS



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V. IMPLEMENTATION PLAN

This chapter describes the effort that will be required to fully implement the AICS approach described in Chapter III. The approach is based on several implementation philosophies.

- Finalizing the Codes: Over 50 individuals in AID participated to some extent in revising the AICS Codes and in developing the coding approach. Their review, however, was conducted at various stages of the development of the codes and with varying degrees of attention to detail. The coding elements (but not the coding framework) should continue to receive scrutiny during the next several months to insure that important project elements are described by one or more code from each of the four categories. The discrete tasks described below can be carried out simultaneously with the continued review of the AICS code list.
- Integrating Project and Non-Project Activities Into A Single System: The task plan described below relates primarily to what are now known as "projects." A major theme of each task will be, however, identifying correlative systems, forms and procedures that relate to "non-project" assistance and making the corresponding changes.
- Maintaining Momentum: The AICS project has established momentum for focusing on coding and the information system processes. This momentum, which is extremely important in any system process, can be lost if the project is not continued in a timely manner. Thus, we recommend that implementation be initiated as soon as possible.
- Obtaining Continued User Support: User support is vital to the success of the revised coding system and associated information systems. Throughout the implementation phase, every effort should be made to involve as many system users as possible to surface potential problems and develop familiarity with the system.

With these four points in mind, the remainder of this chapter discusses the implementation of the system. Exhibit V-1 lists the tasks required to conduct the project and a recommended time frame for completing each.

The implementation plan assumes that the project will be headed by PPC and possible contractors with participation by staff from

Data Management and Financial Management. Contractor support may also be required. Throughout this chapter, these staff and possible contractors responsible for system implementation are referred to as the "Project Team." The proposed effort is discussed as two separate phases: Detailed Design and Implementation.

PHASE I: COMPLETE THE DETAILED DESIGN

Chapters III and IV of this report present the systems configuration, an overview of the current systems (PBDS, PAIS, CPDB, and DIS), and a discussion of the impact the proposed changes would have on these systems. These changes will require significant modification, enhancements, and additional features that will greatly affect the current processes and systems. Thus, an extensive detailed design must be completed prior to implementation of the proposed revisions to insure that modifications take full advantage of the existing system resources and are comprehensively and appropriately incorporated into them. Four specific tasks required to complete the detailed design are discussed below.

Task 1: Redesign The Source Documents

Several source documents must be designed or redesigned. These include:

- ABS Table: New input formats must be developed to capture AICS information for input to PBDS. These forms will replace Table X, currently used for Special Concerns.
- PID and PP Fact Sheet: Information on AICS will be dropped from both of these forms requiring extensive redesign.
- Approved PP Form: This form will be designed to capture new AICS information on approved project papers and to update other project information. This form will be the same as the PP facesheet with the addition of AICS information.

Task 2: Finalize The Codes And The Numbering System

At this juncture, the coding framework and the coding element must be finalized. In addition, the specific numbering system for the codes must be completed. The numbering system should be developed in parallel to the old AICS numbering system as closely as possible.

Task 3: Develop Program Specifications

This task will involve two major steps:

Step 1:

- Develop Detailed Documentation For The Current Program: The specifications will include:
 - Flowcharts of systems, depicting the detailed interrelationships among all programs and files.
 - Documentation of the edit criteria and processes for updating each system.
 - Documentation of the current retrieval procedures.
 - Computation of a data definition dictionary for all elements in the system.
 - Library of current system documentation, user manuals, program listings, and system description.

Step 2:

- Develop Program Specifications: These specifications will include:
 - Input formats, edit output, and updating specifications.
 - File definitions and maintenance procedures.
 - Program linkages and verification procedures.
 - Program algorithms, application rules, and logic.
 - Program macros.

These steps are highly interrelated. Because the current systems are a major portion of the proposed system, it is extremely important to document salient characteristics of the current processes fully and, then, to develop definitive program specifications utilizing this base of information. Exhibit IV-2 of this report is the skeleton for this task.

PHASE II: IMPLEMENT THE SYSTEM

Although it is difficult to spell out the implementation plan in any great detail until the detailed design is completed and approved, it is possible to outline the major implementation tasks and their key characteristics. The remainder of this section describes these tasks.

Task 1: Code The Programs And Program Modifications

Based on the detailed program specifications drawn up in the previous phase, programs will be developed or modified. All coded programs should undergo a quality control review to assure that they are consistent with overall system standards. Documentation should include:

- Program Specifications
- Program Flowcharts
- Source Listings
- Test Results
- Instructions for Processing and Maintenance

Task 2: Conduct Systems Tests

Subsequent to program testing and review, a simulated environment should be created so that all programs can be linked and an overall system test can be conducted. This step entails the creation of representative test data, test criteria, and acceptance procedures. During this task, we recommend that all of the bureaus participate so that testing closely simulates the real environment.

Task 3: Develop Systems Documentation and Training Materials

Systems modification will require extensive changes in Handbooks 2, 3, 4 and 18. In addition, training material will be required. These materials cannot be completed until Phase I is complete. The documentation for the system should have the following characteristics:

- Comprehensive--the materials should address all aspects of the system: input, processing, and output.
- User Orientation--manuals should be addressed to various users--finance, data processing, AID/W management, and Mission personnel.

- Clear and Concise--each users manual should include only those parts or features of the system necessary to allow the specific audience to carry out its unique responsibility.

The systems documentation will affect many existing system documents and AID Handbooks. Considering the scope of the changes, a significant amount of resources should be available for this important task.

In addition to documentation, a series of training workshops should be developed for the non-technical personnel, (i.e., mission and bureau personnel responsible for input), retrieval, and use of AICS information. These materials would be used to launch a major training effort, discussed in the next task.

Task 4: Train Agency Personnel

One of the major problems with the current AICS Codes and the supporting system (especially CPDB) is the lack of understanding about the system by individuals who use the codes and interact with the system(s) on a recurring basis. Thus, the new codes and the modifications to the current systems need to be fully explained to the users.

Training of this magnitude in an Agency as physically dispersed as AID represents a major logistical problem. In order to reach all appropriate personnel in a timely and cost effective manner, careful planning need be done and most appropriate training medium selected. Several options are available to AID, including:

- Direct training of AID personnel worldwide
- Training of trainers (one per mission) to provide training at the mission
- Preparation of audio-visional cassettes and other self-training materials for overseas use

A combination of these alternatives should be considered when the specific scope of the modifications are finalized.

Task 5: Conversion and Implementation

Two issues compound the conversion and implementation process.

- Conversion of Existing Data Within CPDB--The "revised" codes do not correspond directly to the

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"old" AICS codes. In addition, the old codes have not always been applied consistently or accurately. Therefore, there are two issues concerning conversion: 1) the feasibility of converting old data, and 2) the validity of converted data. Both of these issues raise the question of whether or not an automated or manual conversion of the "active" projects should be considered. Prior to conversion, these questions must be resolved. The integrity of the new system will be dependent on the accuracy of the codes on new projects, as well as on old projects. Thus, careful consideration should be given to the method and extent of conversion.

- Implementation Timing--The budget process is long and intricate. System and coding changes which affect this process must be planned carefully to be effectively implemented in a timely manner. Thus, the timetable for implementation must allow for sufficient time for implementation internationally.

APPENDIX A
INTERVIEW GUIDE

AN OVERVIEW
OF THE
REVIEW AND EVALUATION
OF THE ACTIVITY IDENTIFICATION
AND CLASSIFICATION SYSTEM

Prepared By:
BIRCH & DAVIS ASSOCIATES, INC.

November 27, 1978



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NEED FOR THE PROJECT

- Assumption: AICS should provide the coding structure to relate all elements of the Project Assistance Cycle--CDSS, ABS, CP, PID, and PP--for planning, budgeting, implementation, and evaluation.
- Despite the apparent need for project level information at all stages in the project development cycle, the information and classification system has not been operating satisfactorily, due to:
 - Changes in the Agency's planning and budgeting policies and procedures
 - Skepticism about the system, stemming, in part, from:
 - Inadequate training
 - Lack of understanding about the entire system and its potential value in decision making
 - Weaknesses in the information collection processes
 - Technical problems with the coding structure itself, such as infeasible data elements, unclear definitions, lack of precision, duplication in codes, etc.

SCOPE OF THE PROJECT

- Analyze the current situation and systems using AICS
- Interview system users and contributors to:
 - Identify user information requirements
 - Assess discrepancies between user requirements and current system capabilities
 - Discuss strategies for eliminating or reducing these discrepancies
- Recommend revised coding system and procedures
- Develop implementation plan, including conversion mechanism, training materials, and handbook

KEY ELEMENTS OF THE APPROACH

- User involvement:
 - Interviews with AID Staff Offices, Bureaus, and Missions
 - Review and Comment on Draft Coding System Revisions
- Integration of the coding system into the overall project management cycle:
 - Planning (i.e. CDSS, PID, PP)
 - Budgeting (i.e. ABS, OMB Submission, CP, OXB)
 - Accounting (i.e. obligations and expenditures)
 - Evaluation

ACTIVITY IDENTIFICATION AND CLASSIFICATION SYSTEM (AICS)

AICS is the coding structure for all AID-Financial Project and Non-Project Activities. The coding system consists of:

- Project/Activity Number: The project/activity number consists of a two segment identifier that specifies the country and the unique serial number of the project.
- Purpose Code: This code describes the "purpose" of the project in the logical framework sense. A primary purpose code is required for each project. A secondary purpose code may also be shown when necessary, although the secondary purpose code cannot be associated with dollars.
- Technical Code: This code indicates the technical field of activity involved in the project/activity. A single primary technical code is generally designated for each project/activity. If the project is funded by more than one source, a primary technical code can be associated with each funding source. Secondary and tertiary technical codes are also possible but these are not associated with dollar amounts.
- Special Concern Code: These codes provide information related to policy issues, Congressional concerns, and reporting requirements. Up to six special concern codes may be associated with each project. Dollars associated with an entire project are associated with each special concern code.

AICS Codes were originally developed for use with the Planning, Budgeting, Accounting, and Reporting Information System (PBAR), which was composed of three separate, but integrated components:

- Country Program Data Bank (CPDB): This system collects descriptive and financial information about projects proposed for AID funding; it can array them by purpose and technical codes, as well as special concern codes.
- Project Accounting Information System (PAIS): This system collects and maintains financial data for AID-funded projects and is used to report project-level obligations and expenditures.
- Development Information System (DI): This system abstracts project information and provides assistance to project planners on prior project design and implementation.

CPDB and PAIS, as well as the Economic and Social Data Bank (ESDB) are documented in "A User's Guide to the Country Program Data Bank Reports," published by the Information Management Division, Office of Data Management. Additional information about DI is available from Maury Brown, 235-9207.

EXAMPLE OF AICS:

PROJECT PAPER: Bolivia: Rural Health Delivery

PROJECT NUMBER: 511-0483
511 = Country Code
0483 = Serial Number

PURPOSE CODE: 531
5-- = Health
-3- = Establish or Strengthen Low Cost Delivery System
--1 = Full-scale Program

OR:

500 = Health, Multipurpose
510 = Reduce Incidence of Disease
520 = Improve Medical Treatment

TECHNICAL CODE: 510 = Health Service Delivery

OR:

560 = Health and Medical Education
580 = Clinics and Hospitals

SPECIAL CONCERN: BR = Rural Poor

ADDITIONAL CODES

Congressional Concern = PARA = Paramedial Training
Functional Subcategory = Health Delivery

- AICS CODES CURRENTLY APPEAR ON TWO SOURCE DOCUMENTS:
 - Project Identification Document (PID) Facesheet and/or ABS
 - Project Paper Facesheet (PP)

- DATA ON THE PID AND THE PP CURRENTLY ARE REQUIRED TO UPDATE SEVERAL SYSTEMS ON A TIMELY BASIS:
 - Country Program Data Bank (CPDB)
 - Project Accounting Information System (PAIS)
 - Development Information System (DI)

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CURRENT ENVIRONMENT

- PBAR was abandoned as a formal method for managing and tracking the process of project development because it required excessive paperwork and created additional workload.
- The PID was "decycled" in 1978. An approved PID is no longer the basis for an ABS budget entry.
- Long-range planning and methods of allocating Agency resources are being altered.
- Specific Congressional interests are demanding more and more data.
- Progress in Sectoral policy formulation and approval results in the need to track compliance with policy.
- Thus, Agency personnel are understandably unclear about present documentation requirements.

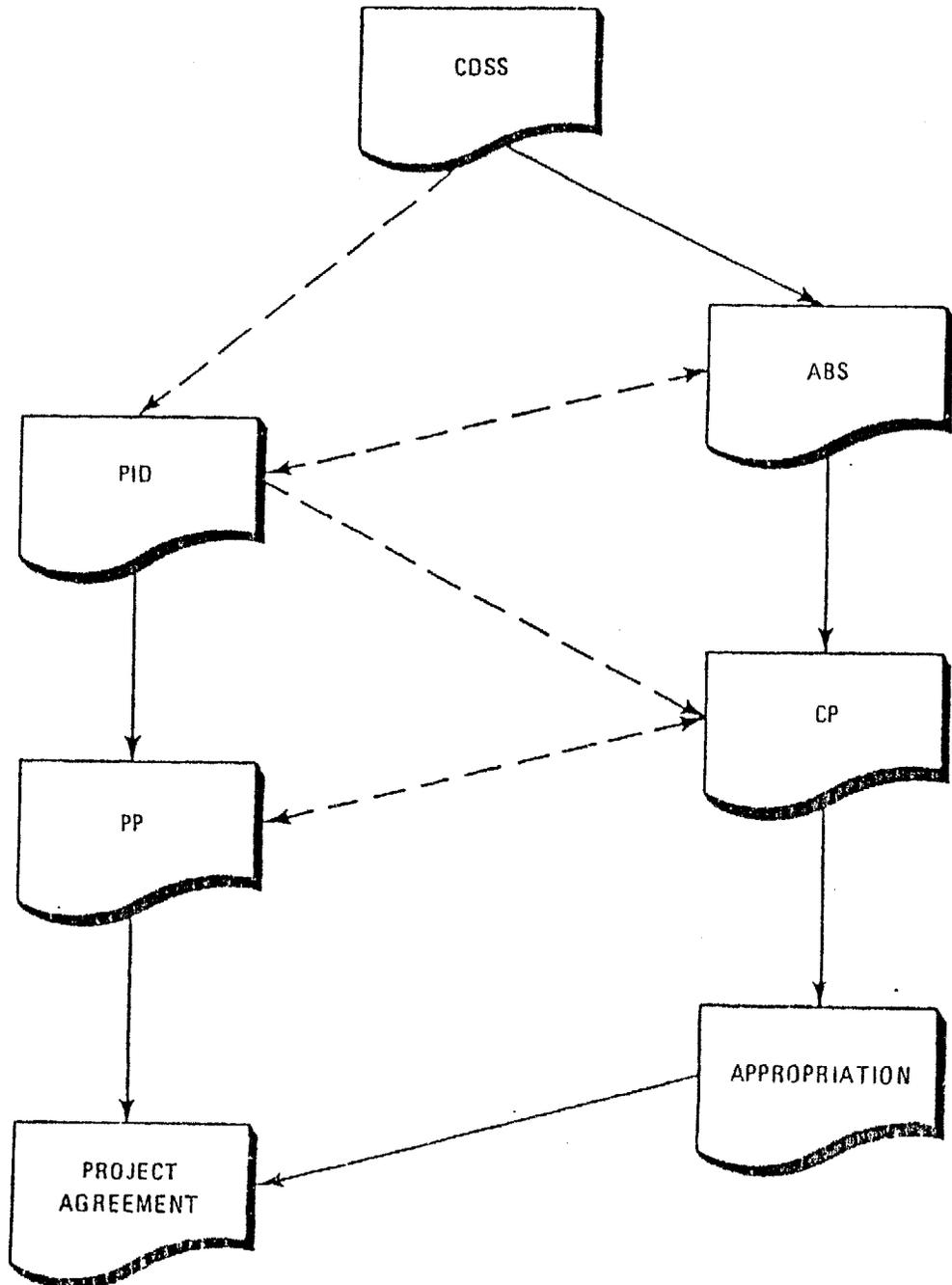
ELEMENTS OF PRESENT PROJECT BACKGROUND AND DOCUMENTATION

- Country Development Strategy Statements (CDSS)
- Sector Assessments
- Project Identification Documents (PID)
- Annual Budget Submission (ABS)
- Congressional Presentation (CP)
- Project Paper (PP)

The project documentation cycle was recently reviewed, analyzed, and documented by Booz, Allen and Hamilton, Inc. The objective of the study was to document the time and resources required during selected aspects of the Project Assistance Cycle.

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SIMPLIFIED FLOW CHART: PROJECT DOCUMENTATION CYCLE



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INTERVIEW GUIDE

- Ask each respondent to explain how the project development cycle is conducted in the Bureau: PID, PP, ABS, CDSS, etc.
- Review the data requirements matrix with each respondent and determine:
 - The data needs for each phase of project development
 - The financial data needs for each phase of project development
 - The source of these data, if any, currently
- Review all data systems currently used by the Bureau during any phase of the project development cycle.

INTERVIEW PROTOCOL

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PHASE IN PROJECT DEVELOPMENT CYCLE

	CDSS		PID		PP		ABS		CP		ACCOUNTING		EVALUATION	
	Data Need	Source	Data Need	Source	Data Need	Source	Data Need	Source	Data Need	Source	Data Need	Source	Data Need	Source
	SECRET/SECRET													
SECRET/SECRET														

db

APPENDIX B

COMPARISON BETWEEN REVISED AICS CODES AND
PBDS SUBCATEGORY CODES

PBDS SUB-CATEGORIES FOR FUNCTIONAL ACCOUNTS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
Land Reform	Land Tenure and Land Reform			
Local Institutions (Food and Nutrition)		Home Base of Organization: LDC	Home Base of Organization: LDC	
Planning & Policy Analysis (Food and Nutrition)	Agriculture and Rural Program Administration			
Development and Diffusion of Agricultural Technology--Research by US Institutions	Agriculture Extension		Home Base of Organization: US	Applied/Develop- ment Research
Development and Diffusion of Agricultural Technology--Support of LDC Research	Agriculture Extension		Home Base of Organization: LDC	Applied/Develop- ment Research
International Centers	Capacity Building, Other Institutions		International Agriculture Center	
Education & Training (Food & Nutrition)	Agriculture Extension			
Extension (Food & Nutrition)	Agriculture Extension			
Land Development (Land Leveling, Terracing)	Land Resources			
Land Management and Conservation (Afforestation, Dry Lands, and Range Management)	Land Resources			
Land Settlement	Land Tenure and Land Reform			
Water Development (Irrigation, Drainage, Flood Control)	Irrigation Sys- tems			
Rural Electrification (Distribu- tion)	Electrification	Rural Poor		
Non-Conventional Rural Energy Sources	Alternative Energy Sources	Rural Poor		
Rural Roads	Secondary Roads	Rural Poor		
Marketing (Food and Nutrition)	Food Marketing and Distribution			
Storage (Food and Nutrition)	Food Processing and Storage			
Agricultural Inputs	No Comparable Code			
Rural Enterprise	Manufacturing, Industry and Services	Rural Poor		
Credit--Farm	Farming Systems Support and Development.	Rural Poor		Credit

PBDS SUB-CATEGORIES FOR FUNCTIONAL ACCOUNTS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
Credit--Off-Farm US Institutions	Finance		Home Base of Organization: US	Credit
Nutrition Improvement	Nutrition Ser- vices			
Family Planning Service Systems-- Integrated with Health Services or Family Planning Only	The Portion of the Project that is Related to Family Planning will be coded "Family Planning Services." The Portion Related to Health will be coded "Low Cost Health Care Services"			
Procurement of Contraceptives and Supplies	Family Planning Services			Supplies
Education and Information (Popula- tion Planning)	Family Planning Services			
Research--Biomedical Operations	Family Planning Services			Applied/Develop- ment Research
Research--Biomedical Social Science	Family Planning Services			Applied/Develop- ment Research
Planning & Policy Analysis (in- cludes Program Development and Support and Policy Development)	Family Planning Administration			
Demographic Data Collection and Analysis	Family Planning Administration			
Training (Family Planning)	Family Planning Education			
Local Institutions			Home Base of Organization: LDC	

APPENDIX C

COMPARISON BETWEEN REVISED AICS CODES AND
PBDS SPECIAL CONCERN CODES

PBDS SPECIAL CONCERN CODES	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MCDE
Appropriate Technology	No Comparable Code			
US Cooperatives		Cooperatives, if Cooperative is Beneficiary	US Cooperative if Cooperative is Implementor	
LDC Cooperative		Cooperative, if Cooperative is Beneficiary	LDC Cooperative if LDC Cooperative is Implementor	
Capital Assistance to LDC Cooperatives		Cooperative, if Cooperative is Beneficiary	LDC Cooperative if Cooperative is Implementor	Capitalization
Energy Technologies	Alternative Energy Sources			
	Traditional Energy Sources			
Environment	Management and Conservation of Natural Resources			
Civil and Political Rights	No Comparable Code			
Local University Training Institutions	Post-Secondary Education		LDC University	
Local Non-University Training	Post-Secondary Education		Other (Specify)	
Local Institutional and Vocational Training	Non-Formal Education			
	Secondary Education, Vocational and Technical			
Paramedical and Auxiliary Health Worker Training	Health Services Education and Training			
US Private and Voluntary Organizations		PVO, if PVO is Beneficiary	US PVO, if PVO is Implementor	
LDC Private and Voluntary Organizations		PVO, if PVO is Beneficiary	LDC PVO, if PVO is Implementor	
Basic Research				No Comparable Code
Applied Research				Applied Research
Development Research				Development Research
Title XII Research			Title XII University	Research and Development Code
Title XII Institution Building	Capacity Building	Title XII University, if Title XII University is Beneficiary	Title XII University, if Title XII University is Implementor	
Title XII Advisory Services		Title XII University, if Title XII is Beneficiary	Title XII University, if Title XII University is Implementor	Technical Advisory Services
Women in Development			Women's Organization	

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APPENDIX D

COMPARISON BETWEEN REVISED AICS CODES AND
INTERVIEWEE INFORMATION NEEDS

INTERVIEWEE INFORMATION NEEDS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
Comparison of the projects originally planned by the missions (i.e. the PIDs) and the project packages finally presented in the CP, funded, and implemented	N/A: This need is met by the timing of the codes, not by the codes themselves.			
Comparison of the project packages from one year to the next to see how the Agency priorities are translated into project support.	See Appendix E to determine the extent to which the draft revised codes correspond to stated policy topics.			
Identification of all projects directed towards women and identification (in dollar terms) of project components that are intended to benefit primarily women, by purpose of project.	All Purpose Codes	Women	Women's Organizations	
Amount of money spent on evaluation				Project Evaluation
Amount of disaster relief funds expended over the past five years	Disaster Assistance			
Number, type, and cost of AID housing projects	Housing			
Amount of money spent in communist countries	This is available from the geographic portion of the code			
Amount of money spent on water projects--dams, electricity, potable	Irrigation Systems Potable Water Supply Electrification			
Amount of money spent on sterilization projects	No Comparable Code			
Amount of money spent in public administration education, secondary education, and other higher education for three relevant years	Secondary Education, General; Secondary Education, Vocational & Technical; Post-Secondary Education			
Amount of money spent on various commodities that might threaten domestic commodities (e.g. steel, citrus, shoes)	No directly comparable code although certain commodities might be reflected by some of the development purpose codes			

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INTERVIEWEE INFORMATION NEEDS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
<p>Information on projects involving environment, women, energy, and other "hot" topics that span traditional barriers. Money spent on these and other topics, assembled in such a way that adding all projects and sub-projects amounts together will equal the whole.</p> <p>Amount spent on research projects. Amount spent on prefeasibility and feasibility projects. Amount spent on direct service.</p>	<p>Management and Conservation of Natural Resources: Land Resources, Water Resources, and Air Resources</p> <p>Electrification Alternative and Traditional Energy Sources</p> <p>Energy Planning and Administration</p>	<p>Women</p>	<p>Women's Organizations</p>	<p>Applied Research</p> <p>Feasibility Studies Direct Services: Supplies, Freight Subsidies, Participant Training, Technical Advisory Services Feasibility Studies</p>
<p>Project by functional sector and geographic area</p>	<p>Development purpose describes functional sector. Geographic code describes geographic area.</p>			
<p>Information about the effectiveness and efficiency of AID projects</p>	<p>No Comparable Code</p>			
<p>Project information that will help management determine if Agency priorities are being followed</p>	<p>See Appendix E to determine the extent to which the draft revised codes correspond to stated policy topics.</p>			
<p>Existence and status of GAO or other audit findings, by project</p>	<p>No Comparable Code</p>			
<p>Information on the contracts associated with each project</p>			<p>This code describes the type of organization, and most organizations can be contractors.</p>	
<p>Information on the reprogramming of projects, either change in cost (up or down) or change in technical nature</p>	<p>Whether this information is available or not depends on the timing and frequency of coding rather than on the codes themselves.</p>			

INTERVIEWEE INFORMATION NEEDS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
Information on each project's technical areas and purpose, but not the overlapping codes currently used. The first digit level on the purpose code is not adequately distinct and there should be more large groupings of functional sectors than the nine that exist.	The development purpose describes the functional or technical areas			
Large categories that describe the purpose of the project so that projects could be assembled that include "everything you want to know about..."	Possibly the development purpose codes will satisfy this purpose.			
A purpose and technical code for each project. The purpose should at least identify the sector and it should be possible to code more than one purpose. The purpose and technical codes should not be overlapping, but hierarchical.	The development purpose codes describe the purpose, more or less. The level of detail desired by this respondent (i.e. the technical codes) probably will not be satisfied by the revised codes.			
Financial amounts by project number from budget (OYB) through actual expenditures for the life of the project. This respondent wants to be able to cross reference grant and loan numbers with project numbers.	Depending on the timing of the coding, it is possible to meet this need. It will not be possible to cross reference grant and loan numbers using the revised codes			
OYB totals for each project, broken down by grant and loan number and actual obligation, per quarter, by project number and grant and loan categories. (NOTE: These needs are currently met by the Asia Bureau OYB System)	The revised AICS codes will not perform this function.			
CP budget amounts for certain broad categories of projects, such as energy, primary education. This information is used infrequently to respond to external requests, not for management decision-making.	Electrification Alternative and Traditional Energy Sources Primary Education			
Type and source of funds by "project purpose," throughout the life cycle of the project (i.e. PID, ABS, CP, OYB, actual)	The development purpose code may satisfy the need for information on project purpose. The timing of the coding will determine if the other needs are met.			
Financial information about health planning projects, environmental health projects, and health services delivery systems projects	Low Cost Health Care Services Communicable Disease Control Sanitary Services and Potable Water Supply			

INTERVIEWEE INFORMATION NEEDS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
Amount of money spent on shistosomiasis	No comparable code			
Very general categories (i.e. that do not involve a lot of judgement) of information about project purpose. The details about projects are too hard to classify and undermine confidence in the system.	The development purpose codes may satisfy this need			
Wants to develop a detailed profile (e.g. soil mapping) of the project portfolio so that field priorities can be identified and so that the centrally funded projects can be developed to support field projects. Concerned about the financial picture over the life of the project.	The revised codes will not contain adequate detail to satisfy these needs.			
Wants information to support responses to a variety of inquiries such as "how much are we spending in primary, secondary, and higher education," "how much are we spending on training," "how much are we spending on participant training." Wants to know training elements of projects that fall outside of the education account.	The Education Codes will meet some of these needs.			Participant Training
Amount spent on communications satellite projects	Communications			
Information about the amount of money spent on science and technology for development, institutional arrangements and new forms of international cooperation in the application of science and technology, and utilization of the existing UN system and other international organizations			Home base of Organization: International, if International Organization is the Implementor	
Amount spent on formal and non-formal education	All Education Codes			
Amount of money spent on improving literacy rates	Primary Education Non-formal Education			
What are we doing for X population group, in Y subsector, in Z country. X, Y, and Z have endless possibilities.	The revised AICS codes will respond to some, but certainly not all, of the information needs.			
Information about project inputs and outputs during the implementation stage.	No comparable code			
For each project, a report that indicates obligations and expenditures	This is not the function of AICS.			
Information regarding environment projects, women, energy development and participant training	Management and Conservation of Natural Resources: Land Resources, Water Resources, and Air Resources	Women	Women's Organization if women are implementing the project	Participant Training

INTERVIEWEE INFORMATION NEEDS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
Amount of money spent for research	Electrification Alternative and Traditional Energy Sources			Applied Research
Amount of money spent for health that is not in the health account (for example)	All Health Codes	-		
Large broad categories that de- scribe the percentage of Agency budget spent on X topic, such as agricultural research, rural cred- it, and extension	Finance Agriculture and Nutrition Code	Rural Poor		Credit
Number of projects and money spent on health planning, environmental health, disease control, nutrition services, family planning services, and general health services	All Health Codes All Population Planning Codes			
Amount spent on primary and sec- ondary education, relative to post-secondary education	All Education Codes			

APPENDIX E

COMPARISON BETWEEN REVISED AICS CODES AND
MAJOR TOPICS NOTED FROM AID POLICY PAPERS

MAJOR TOPICS NOTED FROM AID POLICY PAPERS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
POPULATION, Continued				
<ul style="list-style-type: none"> Testing the effectiveness of new delivery systems to identify workable methods beyond the traditional, costly clinic-based systems 	Family Planning Services			
<ul style="list-style-type: none"> Training paramedicals and auxiliaries in information and education techniques, simple methods and contraceptive distribution 	Secondary Education, Vocational and Technical			
<ul style="list-style-type: none"> Training doctors in new surgical techniques so that medically safe voluntary sterilization programs can be undertaken by governments and private agencies in response to increase in popular demand for these services 	Health Services, Education and Training			
<ul style="list-style-type: none"> Developing viable private sector contraceptive distribution or "retail sales" systems 	Family Planning Services			Supplies
<ul style="list-style-type: none"> Research carried out in US and in LDCs, to develop simple but effective means of voluntary family planning and to improve the quality of health and family planning services, including the promotion and support of integrated health and family planning programs 	Low Cost Health Care Services Family Planning Services			Applied Research
<ul style="list-style-type: none"> Training LDC personnel in the collection and analysis of fertility and other demographic data essential for the assessment of country demographic situations and the design of better family planning services 	Family Planning Administration			
<ul style="list-style-type: none"> Convincing LDC leaders of the socio-economic benefits of population programs, drawing upon data and conclusions developed in these research programs 	Family Planning Administration			Applied Research
EDUCATION				
<ul style="list-style-type: none"> AID places most of its emphasis on primary education 	Primary Education			
<ul style="list-style-type: none"> AID maintains a strong interest in the role of post-secondary institutions in LDCs 	Post-Secondary Education		University LDC	
<ul style="list-style-type: none"> An important element of our effort is participant training 				Participant Training
<ul style="list-style-type: none"> Concern for building up developing country public administration and management capability 	Post-Secondary Education Capacity Building: LDC			
HEALTH				
<ul style="list-style-type: none"> Basic, integrated health, nutrition, and family planning services, particularly for the rural poor, that are safe, effective, and affordable 	Low Cost Health Care Services Nutrition Services Family Planning Services	Rural Poor		

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MAJOR TOPICS NOTED FROM AID POLICY PAPERS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
<ul style="list-style-type: none"> • Production of potable water and sanitation services • Control of parasitic diseases • Development of adequate capacity for health planning • Development of managerial and administrative capacity to establish and operate facilities providing low-cost health services • Research and development of new light capital health technologies • Training of paramedicals 	Potable Water Supply and Sanitary Services Communicable Disease Control Health Planning and Administration Health Planning and Administration Low Cost Health Care Services Secondary Education, Vocational and Technical			Applied Research
SHELTER <ul style="list-style-type: none"> • AID's goal in the shelter sector is to assist developing countries to acquire the policy, institutional, and financial capacity to provide decent, affordable, shelter 	Housing			
ENERGY <ul style="list-style-type: none"> • Assessment of energy potential and establishment of priorities for energy development • Development of manpower to meet increasing demand for LDC experts in the energy field • Support of LDC institutions and agencies engaged in energy policy, planning, research, and development • Assistance to pilot programs/projects that will determine the feasibility of selected procedures or technologies 	Energy Planning and Administration Alternative and Traditional Energy Sources Post-Secondary Education Energy Planning and Administration Alternative and Traditional Energy Sources Energy Planning and Administration		LDC University	Applied Research
ENVIRONMENT AND NATURAL RESOURCES <ul style="list-style-type: none"> • Reforestation • Watershed protection • Wildlife preservation • Improvements to the physical environment • Environmental education 	Land Resources Water Resources Land Resources Land Resources Water Resources Air Resources Post-secondary Education			

MAJOR TOPICS NOTED FROM AID POLICY PAPERS	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
<p>ENVIRONMENT AND NATURAL RESOURCES Continued</p> <ul style="list-style-type: none"> Institutional strengthening 	<p>Management and Conservation of Natural Resources</p>		LDC	
<p>URBAN DEVELOPMENT</p>	<p>There are no development purpose codes related specifically to Urban Development. Rather, the development sector should note the type of activity and the target population should note that urban dwellers are the intended recipients of the project</p>	<p>Urban Poor</p>		
<p>WOMEN IN DEVELOPMENT</p>	<p>The development purpose codes will note the area of the economy in which women are to be involved.</p>	<p>Women</p>	<p>Women's organizations, if women are primarily involved in implementing the project</p>	

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APPENDIX F

COMPARISON BETWEEN REVISED AICS CODES AND
AICS PURPOSE CODES

AICS PURPOSE CODES	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
100 to 101 Increase Food Supply	Small Farm Systems Support & Development			
110 to 119 Improve Plant Varieties or Livestock Breeds	Small Farm Systems Support & Development			Applied/Develop. Research for AICS Code 111
120 to 129 Improve Production Methods	Small Farm Systems Support & Development			Applied/Develop. Research for AICS Code 121
130 to 139 Improve Delivery/Marketing Systems	Food Marketing and Distribution			Applied/Develop. Research for AICS Code 131
140 to 149 Increase Food Production	Small Farm Systems Support and Development			Applied/Develop. Research for AICS Code 141
150 to 151 Improve Food Storage	Food Processing and Storage			Applied/Develop. Research for AICS Code 151
160 to 161 Improve Food Packaging and/Or Transporting Facilities	Food Processing and Storage			Applied/Develop. Research for AICS Code 161
170 to 179 Preserve Food Supply	Food Processing and Storage			Applied/Develop. Research for AICS Code 171
180 to 189 Improve the Administration of Agricultural Programs	Agriculture and Rural Development Program Management			Applied/Develop. Research for AICS Code 181
190 to 199 Program Development and Support	Any Agriculture and Nutrition Code			Program Development
200 to 201 Increase Rural Poor Income	Code to Describe the Development Purpose That Will Provide Increased Income	Rural Poor		
210 to 219 Increase the Quantity or Improve the Quality of Small Farm Output	Code to Describe the Development Purpose That Will Improve Quantity or Quality	Rural Poor		Applied/Develop. Research for AICS Code 211
220 to 229 Increase the Profitability of Small-Scale Farming	Code to Describe the Development Purpose That Will Result in Increased Profitability	Rural Poor		Applied/Develop. Research for AICS Code 221
230 to 239 Improve Systems of Land Tenure and Use	Agriculture and Rural Development Program Management			Applied/Develop. Research for AICS Code 231
240 to 249 Strengthen Rural Organizations		Specify Type of Organization		Applied/Develop. Research for AICS Code 241
250 to 259 Increase Small Farmer Income	Code to Describe the Development Purpose That Will Yield the Increased Income	Rural Poor		Applied/Develop. Research for AICS Code 251
260 to 269 Increase Employment in Rural Areas	Code to Describe the Development Purpose That Will Increase Employment	Rural Poor		Applied/Develop. Research for AICS Code 261

AICS PURPOSE CODES	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
270 to 279 Promote Cottage Industry and Other Service Industries for Small Entrepreneurs	Manufacturing, Industry and Services	Rural Poor		Applied/Develop. Research for AICS Code 271
280 to 289 Improve the Administration of Rural Development Programs	No Comparable Code			
290 to 299 Program Development and Support	No Comparable Code			Program Development and Support
300 to 301 Improve Nutrition	Nutrition Services			
310 to 319 Improve Diets and/or Dietary Habits	Nutrition Services			Applied/Develop. Research for AICS Code 311
320 to 329 Increase the Availability of More Nutritious Food or of Nutritive Food Supplement	Agriculture, Extension and Production			Applied/Develop. Research for AICS Code 321
	Nutrition Services (If Food Supplements or Nutritious Additives are Involved)			
330 to 339 Improve the Capacity of Individuals to Absorb and Utilize Food Nutrients	Nutrition Services			Applied/Develop. Research for AICS Code 331
380 to 389 Improve the Administration of Nutrition Programs	Agriculture and Rural Development Program Management			Applied/Develop. Research for AICS Code 381
390 to 399 Program Development and Support	Nutrition Services			Program Development
400 to 401 Reduce Population Growth Rates	Family Planning Services or Population Administration			
410 to 419 Collect/Analyze Demographic and Social Data	Population Planning Administration			Applied/Develop. Research for AICS Code 411
420 to 429 Formulate/Adopt Population Policies	Population Planning Administration			Applied/Develop. Research for AICS Code 421
430 to 439 Improve/Adapt/Develop New Fertility Control Methods	Family Planning Services			Research for AICS Code 431
440 to 449 Increase the Use of Family Planning Services	Family Planning Services			Research for AICS Code 441
480 to 489 Improve the Administration of Population Programs	Population Planning Administration			Applied/Develop. Research for AICS Code 481
490 to 499 Program Development and Support	Family Planning Services			Program Development
500 to 501 Improve Health Levels	Low Cost Health Care Services			
510 to 519 Reduce the Incidence of Disease	General Health Services (If Reduction in Overall Morbidity Rates)			Applied/Develop. Research for AICS Code 511
	Communicable Disease Control Services (If Control of a Specific Disease)			
520 to 529 Improve the Capability to Treat Illness	Low Cost Health Care Services (If Improvement in Health Delivery System)			Applied/Develop. Research for AICS Code 521

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AICS PURPOSE CODES	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
	Secondary Education, Vocational and Technical or Post-Secondary Education			
530 to 539 Establish or Strengthen Low Cost, Integrated Delivery Systems to Provide Health and Family Planning Services to Rural Areas and to the Poorest Economic Sectors	The Portion of the Project Related to Health is Coded Low Cost Health Care Services The Portion of the Project Related to Family Planning is Coded Family Planning Services	Rural Poor		Applied/Develop. Research for AICS Code 531
580 to 589 Improve the Administration of Health Programs	Health Planning and Administration			Applied/Develop. Research for AICS Code 581
590 to 599 Program Development and Support	Low Cost Health Care Services			Program Development
600 to 601 Improve Education and Productive Skill Levels	Any Education Code			
610 to 619 Expand or Improve Non-Formal Education/Training Programs	Non-Formal Education			Applied/Develop. Research for AICS Code 611
620 to 629 Increase the Relevance of Graded Education Programs	No Comparable Code			
650 to 659 Achieve More Equitable Tax Incidence and/or Administration	Finance and Taxation			Applied/Develop. Research for AICS Code 651
660 to 669 Strengthen Management Capabilities of Cooperating Country Institutions Which Enable the Poor to Participate in Development				Applied/Develop. Research for AICS Code 661
680 to 689 Improve the Administration of Education Programs	Education Planning and Administration			Applied/Develop. Research for AICS Code 681
690 to 699 Program Development and Support	Any Education Code			Program Development
700 to 701 Resolve Selected Development Problems	No Comparable Code			
710 to 719 Increase Income of Urban Poor	Code to Describe the Development Purpose That Will Provide the Increased Income	Urban Poor		Applied/Develop. Research for AICS Code 711
720 to 729 Improve the Quality of Life of the Urban Poor	Code to Describe the Development Purpose That Will Produce The Increase in Quality	Urban Poor		Applied/Develop. Research for AICS Code 721
730 to 739 Promote Exports	No Comparable Code			Applied/Develop. Research for AICS Code 731

AICS PURPOSE CODES	REVISED AICS CODES			
	DEVELOPMENT PURPOSE	TARGET POPULATION	IMPLEMENTOR	IMPLEMENTATION MODE
740 to 749 Increase the Production or Conservation of Energy	Alternative and Traditional Energy Sources			
750 to 759 Adapt/Apply Science and Technology	No Comparable Code			
760 to 769 Strengthen/Support Private and Voluntary Organizations		PVO (If PVO is Target of Assistance)	PVO (If PVO is Implementor of Project)	
770 to 779 Strengthen/Support Regional/International Development Organizations			Home Base: International (If International Organization is Implementor)	
790 to 799 Program Development and Support	No Comparable Code			
900 to 901 Ameliorate Emergency and Special Situations	Disaster Assistance			
910 Ameliorate a Balance of Payment or General Budgetary Problem	Code to Describe the Development Purpose That Will be Assisted			Balance of Payment Support
920 Provide Emergency Relief	Disaster Assistance			
930 Provide Reconstruction Assistance Following Natural or Man-Made Disasters	Disaster Assistance			
990 to 999 Program Development and Support	Disaster Assistance			Program Development