F A I M E

TECHNICAL ASSISTANCE INFORMATION SYSTEM

OPERATIONAL CAPABILITY DESCRIPTION

REPORT 551-4

PREPARED FOR:

EXECUTIVE OFFICE OF THE PRESIDENT
BUREAU OF THE BUDGET
WASHINGTON, D. C.

Dunlap and Associates, Inc.
Washington, D. C.

FOREIGN AFFAIRS INFORMATION MANAGEMENT EFFORT
(FAIME)

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Report 551-4

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ABSTRACT

This draft report presents a new information system for monitoring, evaluating, controlling and improving AID's Technical Assistance operations, and provides a system which can be expanded to include other functions of the Agency. The report includes:

(1) Illustrative management reports that can be generated by the system.

(2) The content of the automated data base required to produce these reports.

(3) The source for each data element included in the system.

The introduction of this automated system will increase the flexibility, quality and timeliness of AID's management information.

All data used in the system is available from existing sources as detailed in Appendices C through F, except for a new semi-annual evaluation report which is proposed in lieu of four existing mission reports. We recommend discontinuing 56 existing recurring reports and submitting 37 others less frequently.

The proposed system for Technical Assistance projects is an integral part of the total proposed AID information system concept developed as part of Section "A" of the Foreign Affairs Information Management Effort (FAIME). A summary of the "Section A: proposals, insofar as they pertain to AID, was prepared by the AID Project Staff and is included as Appendix "H".

The Technical Assistance concepts have been discussed extensively with AID/W and USAID personnel, and appropriate modifications have been made to reflect comments from these potential system users. A plan is presented for pilot testing and implementing this system as an integral part of the proposed overall AID Information System. This implementation plan includes a recommendation for interim equipment rental to service the

Technical Assistance project control system until equipment can be procured for the final AID Information System.

ACKNOWLEDGMENT

Throughout the course of this study we have met and talked with a number of AID people. Without exception, they have been cooperative and eager to help us. Although most of our investigations were conducted in AID Washington, we were privileged to visit the AID Missions in Lagos, Nigeria and Ankara, Turkey. In both countries we received energetic participation in our efforts to validate the proposed system concepts. The observations and comments that we received from the staffs of both USAIDs were penetrating and constructive.

We are particularly indebted to John DeWilde, Wyman Stone and Victor Porlier of the AID staff, for working closely with us throughout the FAIME Project. John, Stoney and Vic have made significant, creative contributions to the development of the proposed system concept, imposed upon their friends in the Agency to interrupt their busy schedules to talk with us, and devoted a great deal of their own time and efforts to assist us.

1. INTRODUCTION

1.1 Contractual Reference

Under a contract with the Bureau of the Budget, Dunlap and Associates, Inc., developed a long-range Foreign Affairs Information Management System concept for the foreign affairs community and for each participating agency (STATE, AID, USIA, ACDA). During Section A of the contract which ran from January to June 1965, existing AID information handling practices were assessed to identify major recurring problems and information system requirements were identified. The AID information system concept developed includes a "blueprint" for its future detailed design and implementation. The AID information management system concept is compatible with the broader, inter-agency Foreign Affairs Information Management System.[1]

During Section B which ran from July to October the detailed design of an information system to support evaluation and control of Technical Assistance (TA) projects was undertaken to demonstrate the feasibility and benefits of the use of automated data processing (ADP) equipment as a central part of an improved project evaluation and control system. This report discusses our findings and describes in detail the design of a Technical Assistance project evaluation and control system. The proposed system can be extended to support evaluation and control of other

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[1] Dunlap and Associates, Evaluation of Present Information Handling Practices, Report 551-1, 10 May 1965. Hereafter cited as FAIME Evaluation. Dunlap and Associates, A Development Program for a Foreign Affairs Information Management System (FAIMS), Report 551-2, 7 June 1965. Hereafter cited as FAIMS Development. See AID Summary under Appendix H.

forms of assistance in cooperating countries. If implemented it will be the first step in a long-range program for modernizing AID's information management practices.

The team responsible for producing this report included both AID and Dunlap personnel. Although many individuals contributed time and effort to the study, there were only five full-time members of the team. For AID these were: John DeWilde, Wyman Stone, and Victor Porlier. For Dunlap these were: Samuel Ginder and Margaret Mix. The AID team provided important insight into the Technical Assistance process, agency policies and procedures, and management information requirements. The contractor team concentrated on identifying ways and means for utilizing modern information system techniques to support AID management in evaluating and controlling project plans and operations.

1.2 Background

Technical assistance is a complex process involving many different project components and diverse methods of implementation. Selection, implementation, evaluation and control of approximately 2,000 active projects occupies a major portion of the Agency's staff time.

Existing methods for providing AID management with information do not adequately provide what is needed to exercise effective control over technical assistance activities. There is a critical operational requirement to provide Agency management with a means for effectively integrating, correlating and interpreting the vast amount of data required to evaluate and control projects and programs.

The complex process of correlating and integrating the large amount of project operating data requires the introduction of an information system which utilizes automatic data processing (ADP) equipment. Substantial cost benefits can accrue from increased information handling efficiency gained through integrated data collecting, processing and reporting,

together with the application of modern information technology and ADP equipment to these processes. The more evident cost benefits include reduction of the substantial amount of manpower now required to collect and process data and produce a wide variety of uncorrelated reports concerned with various phases of the program. More important, better and timely information will increase effectiveness in managing Technical Assistance projects which cost $350 million annually.

1.3 System Scope and Objectives

To design an information system requires a clear identification of: (a) what the system must do and (b) how broadly the capabilities of the system are to be applied. This proposed system correlates the total program management requirements of the regional bureaus with the interests of controller, personnel, training, material resources and other project support offices. It increases technical staff participation in the planning, review and evaluation of projects. Its scope is limited to information which is essential for project evaluation and control. More specifically the system must:

- Establish an effective means for collecting, storing, processing and disseminating information required to evaluate project operations.
- Establish a data framework to permit rapid response to special management inquiries.
- Introduce "exception monitoring" of approved project implementation to correct unacceptable project status or program trends, and point out significant successes.
- Maintain a continuously updated record of proposed projects. USAIDs should submit projects for approval as they are developed. AID/W should continuously approve or disapprove

them on a policy basis irrespective of whether AID funds are currently available to finance these projects.

- Maintain a backlog of approved projects which have not been funded or implemented. This shelf of approved projects will reduce many of the delays inherent in the AID/W approval process and will expedite project implementation.
- Maintain a readily retrievable record of significant project experience to support future program planning.

This report defines:

- What data will be stored in an automated data base.
- The process for keeping this data base current.
- Illustrative management information which can be generated by automated processing of these data. This management information includes periodic reports, exception notices and responses to special information requests.

2. SUMMARY OF SIGNIFICANT FINDINGS AND RECOMMENDATIONS

This section summarizes our most significant findings and recommendations. It highlights the most important aspects of the proposed system.

- o AID management information requirements are not static. Consequently, the information outputs of the proposed project evaluation and control system are flexible and can rapidly respond and adapt to the wide variety of information needed at various management levels in AID.
- o A massive amount of data exists which must be systematically organized to facilitate project control. Laborious manual processing and reporting are impractical and costly. They consume an extraordinary amount of staff time with uncertain results. The proposed system introduces automatic data processing to monitor and evaluate project components.
- o This proposed project control system is a manageable step in the development of a larger information system encompassing the total range of AID activities.
- o An AID information office should be established to assure orderly implementation and effective direction of AID's information system development.

Each of these points is discussed in the remainder of this section.

Flexibility to Adapt to Changing Information Requirements

The Section "A" study clearly showed that management officials in the Foreign Affairs Agencies cannot provide a definitive list of their essential information requirements. Indeed, the higher an official is placed in the Agency the more difficult it is for him to specify his requirements.

It is relatively easy to specify the information requirements of a voucher auditor as consisting of vouchers, regulations, laws, rate schedules and procedures, in addition to the experience background of the auditor. The broad range of interests at higher management levels, however, makes it virtually impossible to identify definitively all of the continually changing AID top management information needs.

On the other hand, the specific categories of data relating to a technical assistance project are not unmanageable. The real problem is to analyze, consolidate, compare, sort, and manipulate this data for thousands of different projects in a multitude of ways in order to generate management information for a variety of purposes. The conversion of this data to meaningful information is the fundamental problem and also the area where modern information technology makes its greatest contribution.

While the Agency's requirements for project information are boundless, the origin of most of this information is a relatively small, definable amount of data categories. Therefore, the basic data required to generate information needed for evaluating and controlling projects has been defined and organized in a form suitable for storage in an automated data base. Modern automatic data processing equipment provides the flexibility the proposed system must have to respond to frequent changes in management information requirements. Ready access to stored data and automated generation of periodic reports fulfills important, recurring management information needs. Additionally, specific questions can be answered by automatic manipulation and printout of the desired information.

Automated Project Monitoring

The proposed system provides an automated monitoring of project implementation progress. Standard benchmarks already exist and have been defined for participant training, commodity procurement and the

supplying of technicians required for implementation of projects. Actual implementation progress is measured against dates planned for these benchmarks. If project implementation falls behind schedule, missed benchmarks are automatically detected and designated action offices are notified by computer printout.

This proposed automated monitoring system is also self-checking. It records the number of changes to project component benchmark dates and notes total slippage in project starting or completion dates. Excessive rescheduling, slippage on a project, or target dates set far in the future to assure an artificially good implementation record can be automatically detected and reported.

Inclusion in the data base of actual project component planning and corresponding actual implementation data provides the means to produce summary reports which give an insight into the status of projects. Thus summaries of accomplishments can be automatically generated to show a wide variety of worldwide, regional, and country figures, relating to the current status of projects and their components or current status compared with prior status or projected plans. With the data now specified for the data base, literally millions of combinations of data are possible and each combination can be produced automatically at relatively low cost. Consequently the problem is selection. Some preliminary proposals for computer printout reports are included in Appendix B. An illustrative special query for one-time information is included in a later section of this report.

Organizational Implications

The Section "A" report recommended a central information management office highly placed in each Agency.[1] This organization for AID

[1] FAIME Evaluation, pp. B-6 through B-9, and FAIMS Development, p. 3-25. See AID Staff Summary of that report in Appendix H of this report.

should be responsible for the implementation of this proposed system, the management of future information system development and implemantation, and the overall direction of:

- o Information systems analysis and system improvement through expanding and upgrading ADP capabilities.
- o System implementation including equipment procurements, installation and computer programming.
- o System operation including control of data base updating, equipment operation, and producing computer based reports for Agency management.
- o Reports control, reports distribution, and files management.
- o Evaluating and providing information needs for AID top management.

Successful information systems development requires continuing top management participation and support. This is mandatory to assure that authority exists to implement beneficial improvements, to eliminate wasteful and obsolete information practices, and to oversee the introduction of new reporting requirements related to the information needs of top management. The AID information organization requires senior management to provide the total AID viewpoint to direct the Agency's information systems development activities. To be effective, it must have the organizational stature required to coordinate management information requirements for regional bureaus and staff offices.

As a first step, we recommend that AID conduct a management study to determine which elements of the existing Agency organization now perform functions relating to information management, and which should be reassigned to the AID Information Office. This study should seriously consider the inclusion of the automatic data processing division, Statistics

and Reports Division, Communications and Records Management Branch, Publications and Technical Services Staff, files and records units and all other personnel now responsible for implementing information management functions. The consolidation of these functions and associated personnel, now dispersed throughout the Agency, in one office should provide all the staff resources necessary to develop and implement a modern information system for AID.

3. ASSESSMENT OF EXISTING TA PROJECT CONTROL AND REPORTING PRACTICES

This section presents the results of an assessment of the Agency's control practices and reporting practices.

3.1 Control Practices

AID's major information problems were defined during the initial Foreign Affairs Information Management Effort. Many of these broad problems can be seen in the more limited context of the TA Program.

Operations Evaluation and Control

- It is difficult to assess adequately the current status of projects.
- It is difficult to equate project operations with financial activities through existing project evaluation and control methods.
- There is an inability to retrieve data rapidly and generate summary information required for broad overview evaluations of selected areas of Technical Assistance. Required data is maintained in multiple locations (Controller, Personnel, Training, Material Resources, Regional Offices) which makes manual data collection and generation of project summaries a difficult and time-consuming task.
- Project evaluations are fragmented in several reports (TA Project History and Analysis, Evaluation of Contractor's Report, Contractor's Progress Report, Evaluation of Contractor's Performance and End of Tour Reports). It is difficult to get a complete project evaluation from data contained in so many different reports and the indications are that these reports are not used in any comprehensive or

systematic way. In far too many cases they are not used at all.

- o It is difficult to apply principles of "Management by Exception" through systematic identification of implementation problems before they become critical. There are almost no exception type reports in the entire reporting structure. There are a variety of reports covering status of AID activities which are of limited usefulness for evaluating and controlling TA projects.

Selective Information Dissemination

- o Employees are flooded by information of marginal or no value to them. Reports containing TA information are given wide dissemination which includes people and offices having no real informational or operational requirement for the report.
- o Large scattered files of infrequently accessed "background information" exists throughout the Agency built up by the distribution of project information to organizations without a clear need for it.

Institutional Memory

- o Data pertaining to completed projects is difficult to locate. No organized system exists for retaining a usable record of completed project experience to assist in future project planning. Frequent changes of personnel in AID/W and the field further contribute to this difficulty.
- o New project proposals are presently submitted, reviewed and approved once a year. Consequently, the Agency is flooded with project data when the country program document

is submitted. The large number of documents and their comprehensiveness leaves too little time for adequate review.

Common Use of an Integrated Information System

- o AID staff offices do not always effectively participate in the country planning and evaluation process. Access to project planning and accomplishment data, project history, backlogs of proposed projects, summaries, and trends would contribute to staff office effectiveness, and increase their participation in the support of field operations.
- o There are many non-standard and informal progress and financial reporting systems and more are being developed. These have been designed to meet the parochial interests of Regional and Staff offices. Lack of consistency between Regional Bureau, Material Resources, Controller, Personnel, Training and Technical Offices make it difficult to provide cohesive management review and direction.

3.2 Reporting Practices and Recurring Reports

Existing AID reporting practices were examined for their effectiveness in supporting TA project evaluation and control. The AID reporting system does not deal separately with technical assistance projects, but includes it as part of reports covering all Agency activities. The review of current reporting practices therefore was extended beyond those relating to technical assistance. The following significant characteristics of this reporting system were noted:

- o When viewed in their entirety, recurring reports fall far short in meeting management evaluation and control requirements. Even if an official could find time to review all recurring reports, it is doubtful that he would have any comprehensive insight into the effectiveness of current operations.

- AID is producing an overabundance of reports that just are not being used. Implementation of new reports without eliminating obsolete reports contributes significantly to this proliferation.
- Existing reports are mostly generated manually. A significant effort is expended in manual manipulations of the same data to produce varied reports primarily oriented towards presenting historical background information on Agency activities as contrasted to reports which evaluate progress, problems and accomplishments.
- There has been a complete breakdown in AID reports control. A previously established reports coordination committee no longer effectively functions. The reports control function in the office of Management Planning is dormant. Analysts look upon it as a controversial duty to be avoided since there is little chance for implementing recommendations for improvement. Uncoordinated new reporting requirements are being generated without coordination or control and contribute significantly to the reports proliferation problem.
- Most reports are weeks or even months old at the time they are issued which is one reason they are not extensively used. This is largely because these reports are manually prepared and consolidated at various levels
- Many reports are justified as reference material which may be used to answer occasional inquiries. Yet in many instances the reports are not used and the information is being solicited by telephone, cable, or airgram.

- Reports are oriented toward the parochial functional interests of an office rather than toward an integrated Agency project evaluation and control approach. This is illustrated in the following table:

Official Recurring Reports by Requiring Office*

Requiring Office	Washington Reports	Mission Reports	Total
Executive Secretariat	4	2	6
Congressional Liaison Staff	6	1	7
Management Inspection Staff	1	-	1
Program Coordination	3	-	3
Office of Public Safety	-	1	1
Controller	69	34	103
Technical Coop. and Research	-	2	2
Material Resources	12	9	21
Personnel Administration	28	8	36
General Services Division	12	9	21
International Training	1	4	5
Statistics and Reports Division	9	2	11
Management Planning	9	2	11
Regional Bureaus	20	29	49
Total	174	103	277

*AID Manual Orders 325.1 and 326.1.

- Sixty-nine (69) out of 174 AID/W reports provide information required by external agencies and many have little relevance to AID information requirements.
- There has been no organized attempt to control reports requested by Circular Airgrams and Cables. Yet many of these are more time-consuming to prepare than approved recurring reports.
- Existing reports have evidently evolved with no attempt to structure or integrate them into an organized reporting system.

The reports control function should be approached from a broader point of view which not only restricts the generation of new requirements, but develops reports and analyses supporting the management of Agency operations.

We recommend an AID review of those reports required by external agencies. The present need for some of these reports appears questionable. External agencies were not interviewed as a part of this study, hence no recommendations have been made for discontinuing any of these reports. We recommend that 43 Mission and 13 Washington reports be discontinued. In addition, we propose that the frequency of 19 Mission and 18 AID/W reports be reduced. These recommendations are detailed in Appendix A. The Deputy Controller and the Statistics and Reports Division Chief have objected to the elimination of several of their reports. Operating offices did not object. The reports suggested for elimination are of questionable value for management purposes. The burden of proof for their retention should be on the requiring office.

A substantial further reduction and improvement in reporting could be achieved by integrating the remaining annual status reports into an integrated annual AID public report with visual aids that could be disseminated through the Agency and to external organizations. In concept this is similar to an annual statement to stockholders complete with financial and operating information. It would present an integrated summary review of the status of AID's operations. It would avoid the duplication and inconsistencies now existing.

4. PROPOSED TECHNICAL ASSISTANCE PROJECT CONTROL SYSTEM

The proposed project control system is a method for collecting and storing the project operating data required to generate information needed by all levels of AID management for evaluation and control. The proposed system employs automatic data processing equipment to facilitate the handling of a large amount of project data. Automation further provides the proposed system with the flexibility to respond quickly to a wide variety of management information requirements, and to adapt to new reporting requirements.

Figure 1 on Page 4-2 presents a summary of the project control system concept for approved projects. Certain project planning data is stored in an automated data base. Essential operating data is extracted from project implementation documents and financial reports which are an existing part of the Agency's present implementation system. Computer programs will correlate and compare actual project operating data with established project plans. Implementation status of project components will be monitored automatically to detect variations between actual and planned implementation. These variations constitute exceptions to planned progress.

Exception notices on project component progress will be machine generated and distributed to a designated action office. Action offices are designated and machine stored for each project component benchmark to permit selective distribution.

Periodic reports are generated and distributed to management. These reports contain summaries and comparisons of TA operating data to provide AID management with an accurate overview. Periodic reports reflect comparative summaries and trends of projects, programs and accomplishments. These reports emphasize evaluations and comparisons rather than descriptive, historical summary information.

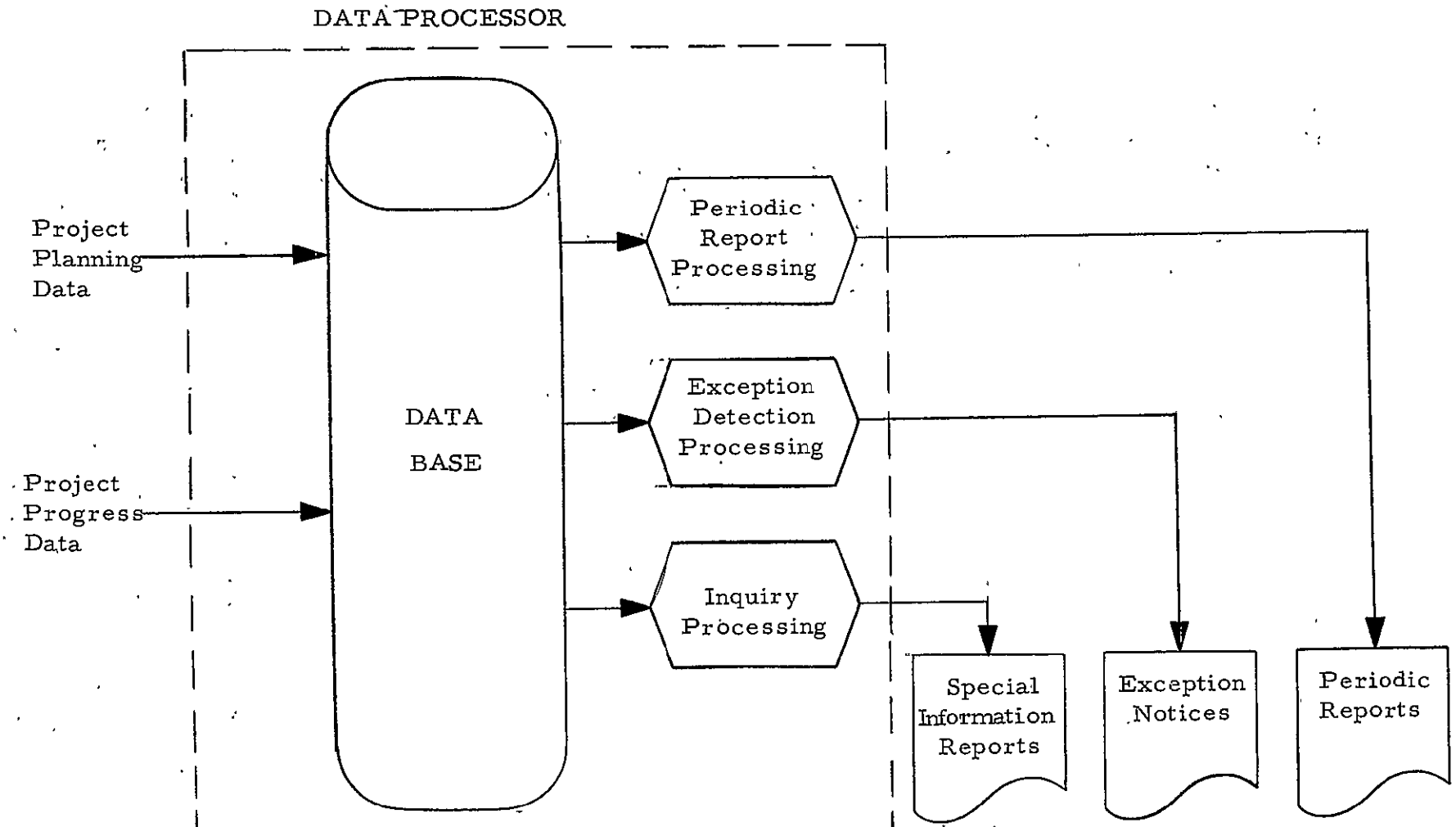

Figure 1. Technical Assistance Project Control System Concept

Special Information reports respond to unique, non-recurring information requirements which are not contained in Periodic Reports or Exception Reports. Management information requests are transcribed into statements that can be recognized by the computer. Automated searches are made of the data base, and manipulations of retrieved data are performed in accordance with the information inquiry. Translations of management information requests to machine recognizable statements will be performed by the proposed AID information staff.

4.1 System Outputs

Information contained in reports generated by the system must be responsive to identifiable project assessment, decision-making and action requirements otherwise the information is of no real significance. The project control reporting system should identify project problem areas and organizational responsibilities for corrective action. It should identify successes and especially those that have applicability in other countries.

The level of information detail contained in a report should vary with the levels of management users. TA reports should summarize current information from the bottom up to each level of management, thereby relieving a manager of the need to review detailed data from subordinate levels in order to evaluate program or project status. Evaluative information should suggest appropriate subordinate level information for examination if it is required for further analysis. The proposed reporting system provides management with a broad, continuing overview of TA activity, and the ability to go to any desired depth of information detail. Information contained in these reports can be presented as computer printouts, graphic charts and tabular reports, or as narrative spot evaluations prepared by the proposed AID Information Office or other users of the system.

As indicated previously, there will be three types of management reports generated by the proposed project control system: Periodic Reports, Exception Notices and Special Information Reports. Each of these is discussed in detail in the following sections.

4.1.1 Periodic Reports

Periodic Reports should serve two basic functions. First, they should support country programming and management decisions by presenting analytical information concerning the quality and relative desirability of TA projects which are currently being financed. Second, they should present comparative summaries and trends of planned progress and actual accomplishments. These two types of Periodic Reports are called:

- o Periodic Project Quality Reports
- o Periodic Project Progress Reports

Illustrative Periodic Project Quality and Project Progress Reports have been developed and are included in Appendix B. Should the content or format of these reports prove to be unacceptable, the proposed automated capability permits these reports to be cancelled or redesigned with ease without disrupting the operation of the TA project operation control system. In fact, a special inquiry can be designated to be provided at regular intervals thereby making it a Periodic Report.

There are several levels of management interest to which Periodic Reports must respond. These interest levels require project information:

- o At a worldwide level summarizing project data by region.
- o At a regional level summarizing project data by country within the region.
- o At a country level summarizing all project operating data within the country.

- o At a project level summarizing the planning and implementation detailed data pertinent to a specific project.
- o At any geographic level summarizing data for project components (technicians, participants, commodities, etc.).

Reports can be produced and distributed to appropriate levels of Agency management, thereby relieving managers of the necessity of reviewing subordinate levels of information to appraise project status and trends. The manager, however, can probe to any level of detail suggested by information contained in the summary report.

The Periodic Reports presented in Appendix B are illustrative only, and focus on the worldwide level. A pilot test of the proposed project operations control system will help to determine the meaningfulness of these worldwide reports as actual data is combined and compared. The pilot test will further serve to define desirable report frequency and distribution.

Periodic Project Quality Reports

These reports address the question, "Are we financing the best projects?" Some criteria for answering this question may be:

- o Extent of choice. A large number of projects competing for the same resources permits greater flexibility in selecting projects for implementation. Figures B1, B2 and B3 in Appendix B present information related to this evaluation criterion.
- o Capability of Change. In general, long term static projects may not be efficient investments. They restrict flexibility in choosing projects for implementation, have a longer range pay-off, and do not encourage cooperating countries to accept a greater role in the project (Figure B4).

- o Program concentration. Concentrated investment of limited AID resources within the same activity area may have a higher pay-off than diffused investments of relatively small amounts over a broad number of projects and development activities. Figure B5 presents program concentration information.
- o Cooperating country contribution. Increasing cooperating country participation with a corresponding AID disengagement may be a meaningful criterion for evaluating projects. This promotes maximum economic development activity with limited AID resources. Figures B6 and B16 present information for evaluating the extent of cooperating country contribution.
- o Consistency between activity sector concentration and assistance objectives. Program activity should be concentrated in sectors (i.e., private enterprise, education, agriculture, etc.) which contribute most to established economic development goals and U.S. objectives for the cooperating country. Figure B7 shows program emphasis by activity sector.
- o Technician trends. Present policy is that increased use should be made of technicians in other agencies, universities, and private industry. Figure B8 shows distribution of technicians by direct hire, participating agency and contract.

Periodic Project Progress Reports

These reports address the question, "How well are we doing with project implementation?" Criteria which will help answer this question, and reports which include information related to these criteria are:

- Comparison of planned and actual obligations. Lack of obligation activity indicates programs are not being implemented as rapidly as planned. Trends should indicate improvement in obligating programmed funds. (Figure B9). Poor planning or premature obligation of funds will be reflected in pipeline problems in Figure B11.
- Comparison of planned and actual expenditures. This comparison shows that if money is not being spent as planned, project activities are behind schedule (Figure B10).
- Pipeline. The level of unexpended obligations compared with annual expenditure rates is one indication of how well projects are being planned and implemented. Large backlogs of unexpended obligations may indicate poor planning, premature obligations to tie up money, or unpredictable delays in implementing projects. (Figure B11.)
- Adherence to project schedules. Project component tool-up benchmarks should be accomplished on schedule. If not, the responsible office should be notified. Arrivals of technicians and participants should conform with the mission work plan established to coordinate these project components. (Figure B12.)
- Project implementation time. This criterion is concerned with the average time required to implement TA projects. It tests the scheduling process. It is concerned with establishing and improving time standards for obtaining technicians and commodities, and selecting and training participants. (Figure B13.)

- Project stability. This provides an indication of certain project characteristics -- including age, duration, completion date changes and projects completed which may give an insight into project planning and completion. (Figure B14.)
- Project ranking. It is useful to rank projects on a quality and value basis in respect to all other projects. In this way our best and least desirable projects as ranked by Mission Directors can be identified by activity field, cost, size, and many other factors. (Figure B15.)
- Cooperating country attitudes. Figure B16 indicates the attitudes of the government toward projects and the attitude of the citizens being reached by the project. Deeper analysis would indicate attitude patterns by activity field, country, etc.
- Cooperating country take-over and continuation plans. It is crucial to the success of technical assistance that institutions be built and projects carried on by the country after U.S. participation is ended. Figure B17 indicates the range of country take-over and continuation plans.
- Project component evaluation. Figure B18 indicates strengths and weaknesses of project components (technicians, participants, etc.) by ranking the TAPER performance evaluations.
- Utilization of returned participants. Figure B19 shows the utilization of participants by several utilization factors. This will give a picture of strengths and weaknesses of the participant program.

System outputs are not limited to the criteria suggested above. Many others can be developed and comparisons can be obtained from the same basic project data. Additional periodic report requirements can be imposed on the system for the purpose of close monitoring of critical areas.

4.1.2 Exception Notices

Exception Notices focus on project resources which fail to meet established targets. The appropriate action office is recorded for each project component (technicians, participants, commodities) and will be automatically notified if planned activities have not been implemented on schedule. They will be notified a second time if corrective action is not taken or the schedule adjusted. The proposed project control system is "self-checking" in that an Exception Notice for higher management levels can be automatically generated if project component rescheduling is excessive as determined by the number or length of revisions issued for a project as a whole or any project component. Recurring management summaries of project component exceptions can also be generated to show whether corrective action has been initiated by the responsible action office.

4.1.3 Special Information Reports

Any information in the data base can be retrieved in response to inquiries about selected aspects of technical assistance. Management requests for information can be transformed into "query statements" which serve as a basis for automated searches of data base files and manipulation of selected data elements to produce desired reports.

Query statements must conform to an established, machine recognizable structure. An acceptable statement has four basic parts:

- o A prolog which directs the computer to use the query language program and specifies the data base files to be searched.
- o Qualifiers which define the data element, comparators and values which distinguish the items of interest from other data elements in the file.

- An output director which specifies the output format in which the retrieved data is to be presented.
- An output selector which consists of the types of attribute information to be contained in the output, and specifies the detailed arrangement of the output within the general format specified in the output director.

Figure 2 on Page 4-11 presents a sample query statement format for obtaining Special Information Reports.

Special Information Reports can be made on the basis of any one or more data elements contained in the automated data base. Sorting criteria, mathematical operations and other forms of manipulation may be employed to generate meaningful reports.

The ability to obtain rapid responses to questions is an extremely valuable management tool. It permits penetration to a significant level of detail when a manager's interest is aroused or a problem exists. Using the familiar concept of financial pipelines, for example, the following questions (and many others) could be asked successively with a rapid response to each. (Pipeline is defined as unexpended obligations.)

- What is the Technical Assistance Program pipeline?
- What is it by region?
- What countries in Latin America contribute to its relatively large pipeline?
- How long will the pipeline in Brazil last at current expenditure rates?
- What are Brazil's pipelines by project?
- What are Brazil's pipelines for contracts, participants, commodities?
- What are the reasons for project delay?

SPECIAL INFORMATION REQUEST	What active TA projects do we have for development and investment centers for private enterprise? List by region, country, project number, project title, amount, and overall rating.

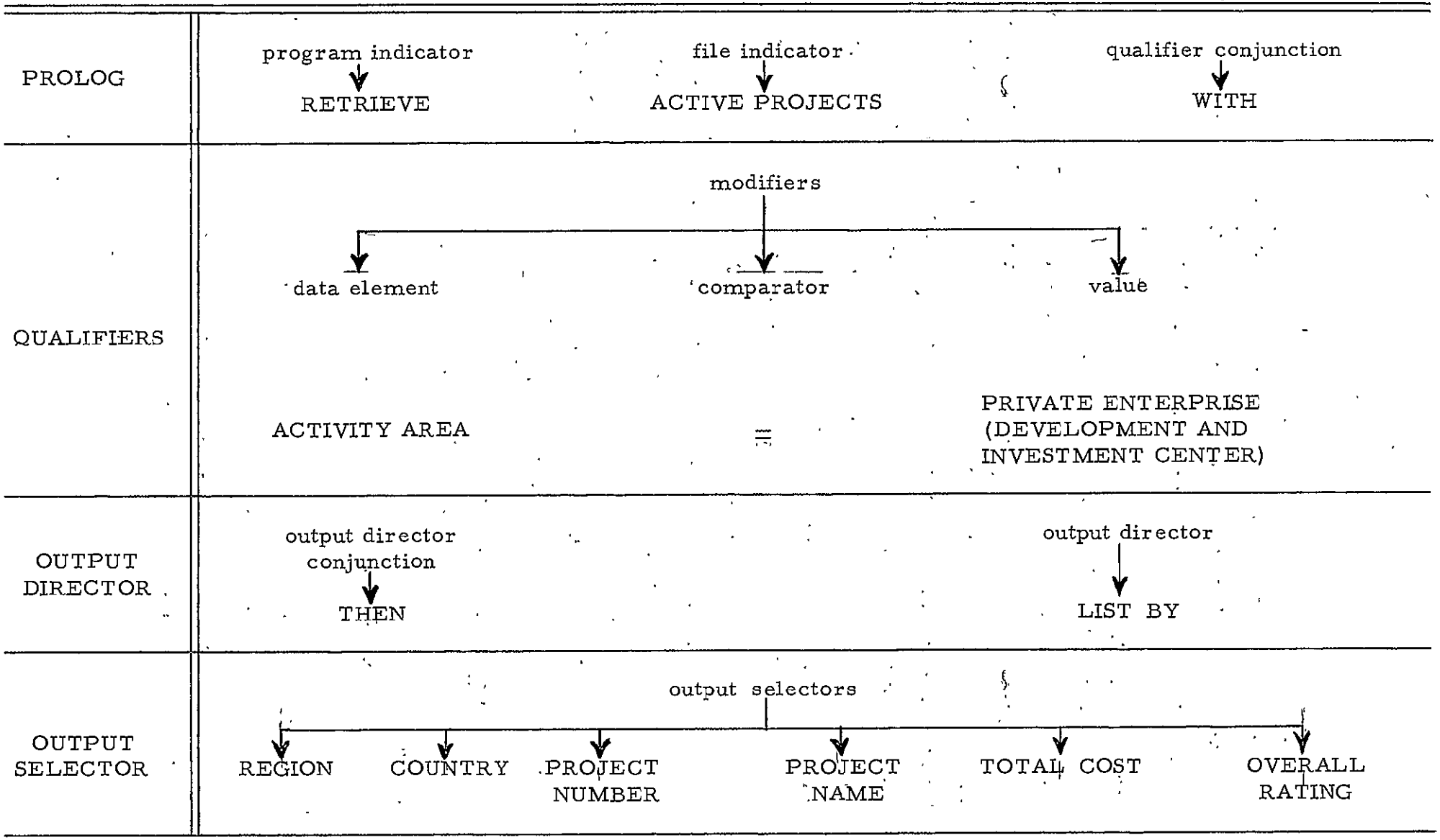

Figure 2. Sample Query Statement Format

With the last question a new source of evaluation data in the proposed system would be tapped. Further questions would be limited only by the interest of the official and the content of the data base.

4.2 Data Base

The data base is the automated storage of those data elements which are required to generate information used in the process of managing programs and projects. Data is considered as a collection of facts having finite, quantitative values requiring objective interpretation. Information is derived from these data through sorting, collating, mathematical operations and other forms of manipulations and presented to the user in a form suitable for subjective interpretation. Significant advantages of an automated data base include:

- The availability of project control data for rapid retrieval and summarization in reports to management.
- The capability to generate project control reports containing a wide variety of management information from a relatively few data elements.
- The capability to respond easily to selected inquiries for virtually unlimited data retrievals or summaries.

4.2.1 Data Base Content

The data base is organized about projects and is structured in four parts:

- Proposed Projects Data
- Active Projects Data
- Active Projects History Data
- Completed Projects Data

These parts will contain a record of the total life span of a project from initial proposal to disapproval or completion.

Each data base part will contain the data which is unique to that phase of a project. These four parts will be briefly described in the following paragraphs; however, their associated data elements are detailed in Appendices C through F.

Proposed Project Data

Proposed Project Data is a record of projects submitted for review and approval. This backlog of proposed projects supports the country programming process by presenting project alternatives for AID financing or possible participation by private enterprise, other assistance donors or the cooperating countries. Proposed projects will be submitted continuously throughout the year to permit a continuing process of AID/W review and approval. Proposed project status will be maintained to indicate:

- o Project under review
- o Project disapproved
- o Project suspended
- o Project approved but not funded
- o Projects approved only for non-AID financing
- o Project approved and funded
- o Project funded from other sources

Proposed Projects Data will become Active Projects Data when a Project Agreement (ProAg) has been negotiated with the cooperating country. The ProAg with revised E1's, associated Project Implementation Orders (PIO's) and Staffing Pattern Action Requests(SPAR's) is received by the AID Information Management Office for inclusion in the data base as Active Projects Data. In the event all PIO's and SPAR's are not submitted with the ProAg and revised E1's, a schedule of estimated submittal dates and project component descriptions must be included instead.

It is assumed that the USAID and AID/W will endeavor to persuade the country, international organizations, other donor countries, voluntary agencies and others to implement approved projects without AID financing. The results of such efforts would be stored in this part of the data base.

Active Projects Data

Active Projects Data is a record of current project plans and accomplishments for all active projects. This data is the basic measurement of actual vs. planned operations for control of project components such as technicians, participants and commodities. Control information is maintained for financial activity, work schedules, and over-all evaluations throughout the life of the project. The work schedule data for resource input to the project is the central mechanism for initiating Exception Notices when project component benchmarks have been missed.

Active Projects History Data

Active Projects History Data is a record of original project planning data and the number of times it has been modified. Project start and completion dates as originally planned, and as currently estimated will be recorded to provide a measure of over-all project slippage if it occurs. Original financial data will be recorded with the number of times various aspects of the project have been financially adjusted. Original project component benchmark dates will also be recorded with the number of times various project components have been rescheduled.

These records provide one measure of the quality of initial project planning, and can serve to alert AID management to projects which may be having difficulties.

Completed Projects Data

Completed Projects Data records selected financial, work plan and evaluation data for completed projects that may assist in planning future projects of a similar nature. Financial data to be stored consists of original budget estimates and final expenditures recorded over the life of the project. A record will also be kept of original participants, technicians and commodities procurement plans, associated actual project component activity and accomplishment data.

With the introduction of the Technical Assistance Project Evaluation Report (TAPER, Appendix G), the completed project file will include a broad range of accomplishment and evaluative data accumulated over the life of the project. The inclusion of these data will permit for the first time retrieval of completed projects which have been unusually successful and those which include special problems. These data can be retrieved in almost any form useful to management and staff officials.

4.2.2 Data Base Inputs

The proposed project control system makes maximum use of presently existing planning and implementation documents to capture project planning and operating data. One important new reporting requirement is proposed to provide necessary project evaluation data not now available in usable form. This report structures field subjective evaluations in such a way that the results can be included in the computer. This new reporting requirement (TAPER) makes it possible to discontinue four other reports which are currently required.

There are two basic types of data which are entered into the data base:

(1) Project planning data

(2) Project progress data

Project planning data is obtained from E1 tables submitted for the project as a part of the CAP/LAS, and from associated PIO's and SPAR's. Project financial planning and personnel summary data inputs will be extracted from the E1a, E1b and E1c tables. Project planned progress for standard project component benchmarks will be extracted from data contained in Project Implementation Orders (PIO's) and Staffing Pattern Action Requests (SPAR's). Cooperating country contributions obligated for "cash" and dollar equivalent "In Kind" support will be obtained from the Project Agreement (ProAg).

Project progress data will reflect the actual status of project activities as reported in the:

- o Quarterly Project Progress Report - AID Dollar Costs, U203
- o Quarterly Project Progress Report - Local Currency, U204
- o Annual E1 submissions reflecting summaries of financial activity for the past year.
- o Evaluations obtained from the semi-annual Project Evaluation Report (new requirement).
- o Cable/Airgram messages reporting project schedule progress with respect to established project component benchmarks.

Existing project evaluation reports are not properly structured or detailed. These multiple reports make it difficult to obtain a composite assessment of over-all project quality. To rectify these difficulties, a TAPER is proposed as the source for project evaluation data. This report will replace:

(1) Technical Assistance Project History and Analysis (U-520)

(2) Evaluation of Contractor's Report (U-510)

(3) Evaluation of Contractor's Performance (U-307).

(4) End of Tour Report (U-513)

This report form is shown in Appendix G.

These documents are the total data input sources for Proposed Projects Data and Active Projects Data. Data inputs for Active Projects History Data and Completed Projects Data are obtained automatically from Active Projects Data. Figure 3 summarized the relationship between the four parts of the data base and data input requirements.

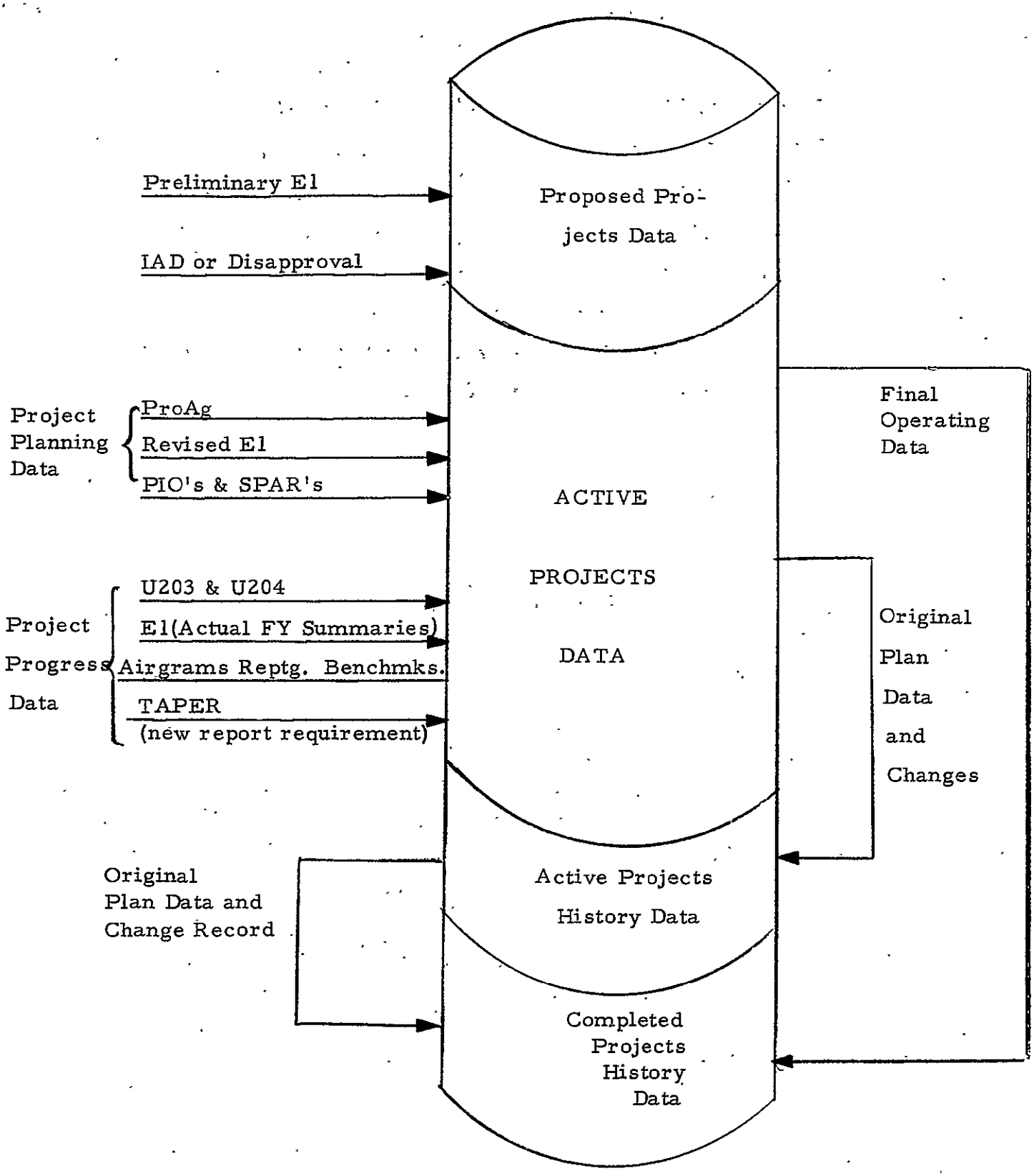

Figure 3. Relationship Between Data Base Parts and Data Base Input Requirements

5. SELECTION OF ADP EQUIPMENT AND GENERAL PURPOSE COMPUTER PROGRAMS

The first four sections of this report and related appendices have presented a detailed description of an information system designed for use with ADP equipment. This section presents an evaluation of existing ADP equipment (hardware) together with compatible, existing, general purpose, computer programs (software), and recommends that the IBM Formatted File System (FFS) general purpose retrieval program together with an appropriate configuration of the IBM 1410 computer be used for pilot testing and implementing this information system.

A basic objective in implementing this project operations control system is to demonstrate system capabilities as quickly as possible. This leads to two general constraints in selecting the hardware and software combination to be used:

(1) Hardware and software must be available for use on or about 1 January 1966.

(2) Existing software should be used to the maximum extent possible.

The use of existing software for the project operations control system is clearly more desirable than developing specific computer programs to respond to system data processing requirements. Existing software will permit relatively rapid and easy pilot testing and implementation. Furthermore, TA project operations control is only a part of a broad spectrum of integrated AID ADP requirements which must be satisfied. An inflexible software and hardware commitment should be avoided until total Agency ADP requirements can be defined and integrated so that ADP system specifications can be developed on the basis of these requirements. It would be inadvisable to expend a large effort on computer programming which may have to be largely discarded when final information system ADP equipment

is selected. (To illustrate the magnitude of the effort required to develop a general purpose inquiry language, it is estimated that approximately 400 man years of effort were required to develop the IBM Formatted File System.) Once a long-term commitment has been made to a specific ADP equipment configuration, special purpose computer programs can be developed to permit maximally effective and economic processing of the Agency's operating data.

The software consideration is critical in selecting the ADP equipment configuration for the TA project operations control system. The fundamental reason for this is the fact that software packages are designed for use with specific ADP equipment, and cannot be easily adapted to other equipment. There is also a wide range in capabilities of existing software packages to respond to TA system data processing requirements and AID requirements in general. This is because none of these existing computer programs were designed for a use precisely matching AID's needs. The differences between alternative software packages are so much greater and more significant than hardware differences that equipment selection was dictated by the software capability that most closely approximated TA project operations control system requirements.

A complete information retrieval package consists of the following elements:

- o File Generator - This program element makes it possible to build automated data base files by writing relatively easy file creation specifications rather than costly, time consuming, computer programs.
- o Retrieval Package - This program element contains the machine instructions which initiate retrievals of data from the automated files created by use of the File Generator. Retrievals are made

based upon condition statements rather than detailed computer programs. These condition statements can stipulate that (1) a record be retrieved if it satisfies a single criterion, (2) a logical retrieval be performed based upon two or more related conditions such as "List all TA projects in Nigeria that have a planned duration greater than five years, and total cost to AID of $1 million or more," (3) retrievals be made based upon simple arithmetic manipulations of items in the record such as "Compute the Difference between Planned and Actual Expenditures for all TA Projects in Nigeria for the Current Fiscal Year."

- Report Generator - This program element permits flexible report formatting of computer printouts by writing broad specification statements rather than detailed computer programs.

In some cases all three program elements are contained as an integral part of the same information retrieval package. In other cases one or more of the elements is a distinct and separate program which can only be used with other compatible elements to perform the functions of file generation, information retrieval and report generation. A flexible inquiry language is required to permit easy retrieval of information in a wide variety of report formats because of AID management's broad span of undefinable information interests.

A survey was made of existing, general purpose, information retrieval packages. These include:

	Name	Developed By	Equipment
(1)	Information Oriented Language (INFOL)	Control Data Corporation (CDC)	CDC 3400/3600
(2)	Formatted File System (FFS)	International Business Machines Corp. (IBM)	IBM 1410
(3)	Information Storage & Retrieval (IS&R)	Western Reserve University	GE 225
(4)	Machine Aided Cognition (MAC)	Mass. Institute of Technology (MIT)	IBM 7094 (modified)
(5)	Teletype Interpreter (TINT)	System Development Corp. (SDC)	IBM MSQ 32
(6)	Personnel Search	Radio Corp. of America (RCA)	RCA 301
(7)	Operation Computer System (OPCON) OPCON - Loader OPCON - Search OPCON - Report Generation	International Business Machines Corp. (IBM)	IBM 1401 (existing AID installation)
(8)	National Institute of Mental Health Information System (NIMH)	Computer Usage Corp. (CUC)	Honeywell 800
(9)	Compile On Line And Go (COLINGO)	MITRE	IBM 1401

Representatives from Burroughs, Thompson Ramo Wooldridge, Univac and Minneapolis-Honeywell were also contacted; however, neither firm currently has an existing software package that meets TA project operations control system requirements for a flexible inquiry language.

Each information retrieval program was evaluated in terms of the following criteria:

(1) Ease of Use. The fundamental considerations here were that the retrieval language must be user oriented. A user-oriented retrieval language permits information retrievals

from structured data files and specification of retrieval report formats based upon inquiries posed in statements which closely resemble the English language. These considerations permit the system to be used by non-programmers with a minimum of training.

(2) Versatility. The prime retrieval language versatility considerations are (a) the ability to generate and update automated data base files; (b) the ability to retrieve items satisfying logical conditions such as A and B, A or B, A equal to or less than B, etc., where A and B are elements of the file records; (c) the ability to perform arithmetic operations on data stored in the data base files; (d) the flexibility to specify a wide variety of retrieval conditions and desired computer outputs in a format which responds directly to the user's requirements. This input/output flexibility is an estimate of the ability to respond to unanticipated query needs; (e) the capacity for permitting on-line inquiries from an input station remotely located from the computer.

(3) Reliability. The basic criterion for retrieval language reliability is the length of time the program has been in operational use. It is reasonable to expect that newly-introduced general purpose computer programs will have design problems which will require "debugging" or re-programming. The longer a general purpose language has been in use, the more refined and reliable it is.

Figure 4 presents a qualitative summary of the advantages and disadvantages associated with each software package. Of the software packages evaluated, the IBM Formatted File System (FFS) and the CDC

Information Oriented Language (INFOL) have the most applicability to the requirements of the TA project operations control system. It must be emphasized that the ratings given to each of these software packages in no way reflects upon their technical quality. Each software package was designed for a different application and the fact that FFS closely meets AID requirements is coincidental.

Neither FFS nor INFOL can be used in conjunction with an on-line query station that is remote from the computer. Several computer manufacturers have indicated that extensive effort is currently underway to develop on-line, remote station interrogation of a computer data base by means of general purpose inquiry languages. For example, IBM representatives expect to have a remote station query language capability for use with their most advanced System 360 configuration in about a year. In the interim, since the data base cannot be queried directly from a remote location by means of a teletype system, arrangements must be made for off-line transmittal of inquiries to the data center and the return of associated reports to AID. These communications can be adequately handled by messenger, telephone or off-line teletype.

The IBM FFS is more appropriate than the CDC INFOL for pilot testing and implementing the TA project operations control system for three primary reasons:

(1) In FFS the File Generator, Retrieval Program and Report Generator are all integrated parts of the same software package. They consequently employ the same language and techniques. INFOL on the other hand does not have an integrated File Generator. It employs the CDC Data Base Load program which also must be learned by AID information analysts responsible for using and maintaining the data base.

(2) FFS has been in operational use longer and has been successfully used in at least three major applications (Office of Economic Opportunity, National Military Command and Control System and the Defense Intelligence Agency). The INFOL system is just being released, and will not be in general service until early 1966. The first operational application will be with the National Bureau of Standards. FFS has a demonstrated reliability through operational service while the newer INFOL is still a question-mark.

(3) The structure and language of FFS resembles more closely than INFOL the plain English statement of the query.

Appropriate IBM and CDC equipment is locally available for use with FFS and INFOL. The IBM FFS was designed to be used with an IBM 1410, 2 channel computer having a storage capacity of 80,000 characters. Discussions with IBM representatives have revealed that an IBM 1410 of this configuration with appropriate peripheral equipment is available for rental on an hourly basis at the IBM Federal Systems Center, 7220 Wisconsin Avenue, Bethesda, Maryland. The CDC INFOL system has been designed for use with the CDC 3400 computer. This computer with appropriate storage and peripheral equipment is located at the CDC Data Center Division, 11428 Rockville Pike, Rockville, Maryland, and is also available for rental.

The hourly rental of the IBM 1410 is significantly less than the CDC 3400 rental. The IBM 1410 processing speed, however, is significantly slower than the CDC 3400. The net result of the IBM equipment's lower cost but slower speed is that the costs to process a given amount of data are roughly equivalent for both machines. We feel that whatever savings, if any, that could be realized through use of CDC equipment would not be significant enough to override the advantage of the IBM FFS.

Evaluation Criteria \ Software & Hardware		Current AID ADP System (IBM 1401)	COLINGO & IBM 1401	FFS & IBM 1410	MAC & IBM 7094	TINT & IBM MSQ 32	INFOL & CDC 3400 or 3600	ISER & GE 225	Personnel Search & RCA 301	CUC Pkg. & Honeywell 800
EASE OF USE	Free format English language query	NO	FAIR	VERY GOOD	POOR	GOOD	GOOD	POOR	FAIR	NO
	Consolidated package for file Gen. retriever & Report Generator	NO	NO	YES	NO	YES	NO	YES	NO	YES
VERSATILITY	Simple Retrieval	YES	YES	YES	YES	YES	YES	YES	YES	YES
	Logical Retrieval	YES	YES	YES	NO	NO	YES	YES	YES	YES
	Arithmetic Conditions		NO	YES	NO	NO	YES	NO	NO	YES
	Input & Output Flexibility	POOR	FAIR	VERY GOOD	FAIR	POOR	VERY GOOD	POOR	POOR	POOR
	Remote On-Line Query	NO	NO	NO	YES	YES	NO	NO	NO	NO
Meets AID Software Needs		NO	NO	YES	NO	NO	YES	NO	NO	NO
RELIABILITY	Approx. months of operational use			13			Developmental testing only			
	Approx. Number of applications			3			To be operational about 1/11/65			
OVER-ALL RATING FOR AID APPLICATION		POOR	FAIR	VERY GOOD	POOR	POOR	GOOD	POOR	FAIR	VERY POOR

Figure 4. Comparison of Alternative General Purpose Information Retrieval Packages

6. AGENCY REVIEW, COST CONSIDERATIONS, AND IMPLEMENTATION

During the months of September and October between the publication of the draft report and the completion of this final report 170 copies of the draft report were distributed to key officials throughout the Agency. Numerous conferences were held with the program, technical and management divisions of the regional bureaus and with the staff support offices which backstop TA activities. The draft report was discussed with over 100 AID/W personnel. Written comments and suggestions were received from several officials. These conferences consisted of presentations of the report material in the additional detail requested, discussions of reactions and the solicitation of suggestions for improvement. Contractor and AID representatives visited Nigeria and Turkey where the system was discussed with all USAID senior personnel. The draft Technical Assistance Project Evaluation Report was tested by using the new form to evaluate a number of projects.

Reception of the draft report throughout the Agency was generally enthusiastic and helpful. Controller and Statistics and Reports Office representatives expressed reservations about proposals for discontinuing reports prepared by their office, although the Controller representatives indicated that several significant report changes were needed. There was an enthusiastic endorsement of the need to reduce and rationalize reporting workloads.

We wish to extend our appreciation to the many individuals who took the time to read the draft report and offer positive, constructive suggestions for improvement. We believe the final report was substantially improved improved as a result of these consultations.

The overall Section "A" assessment of the information management practices of the Foreign Affairs agencies (State, AID, USIA, ACDA) and this detailed follow-on study of the AID TA program confirmed that each

of the foreign affairs agencies has serious information management difficulties. Present outmoded systems are not only inefficient and costly, but they do not provide managers and staff officers with adequate information at the time and in the form it is needed. The true costs involved in the present AID system are difficult to specifically identify and tabulate. Time did not allow a detailed analysis of these costs; however, our studies indicated that substantial savings can be accomplished in the following areas:

a. Information Dissemination. It is estimated by Communications and Records Management personnel that 2.2 million copies of information material of various kinds are circulated in AID/W monthly. If only one person reads each message or document, each employee would have a daily workload of 33 messages or documents. It is certain that most material is scanned by more than one person and is concentrated in certain types of positions. Consequently, the major workload item of many employees is reading messages, most of which are not pertinent to his assigned responsibility. Cables and airgrams are reproduced in as many as 135 copies with an average of about 50 copies. The time involved in reproducing, addressing, transmitting, recording, storing, and disposing of this volume of material involves unnecessary costs totaling thousands of dollars annually.

b. Storage and Retrieval. Additional thousands of dollars can be saved by instituting an effective filing and retrieval system. As a result of a recent survey, records management personnel found 4,000 files at 400 official file locations throughout AID/W. These files are not under the control of professional records personnel, and are incomplete at most locations. Multiple copies of non-essential information are maintained in official files. Almost all officials interviewed agree that retrieval of filed information is extremely difficult and time-consuming. Attempts to obtain filed material often has the costly alternatives of engaging in an extended search involving several employees, or requesting the information by telephone call, letter

or cable from the originating office or USAID. Mission personnel state that requests for information already transmitted in earlier reports or messages occurs frequently.

c. Recurring Reports. Overseas missions are required to submit four different project evaluation reports. These reports are expensive to prepare and are infrequently utilized upon receipt in Washington. Once filed, they are lost as an effective document despite any value of parts of some reports to current and future operations. A rough cost estimate indicated the End of Tour report alone costs more than $150,000 a year.

As noted in Section 3.2 of this report, present reports are not aimed at management needs but generally show status information primarily of historical interest. Thousands of dollars can be saved annually by eliminating, reducing frequency, consolidating and controlling reports.

d. Information Studies. Twenty-eight (28) completed and 79 ongoing information studies were identified and reviewed. Most of these were in-house studies for which no cost estimates are available, but which involved extensive agency staff time. In addition, over $8 million was obligated for contractual management information studies through fiscal year 1964, and many additional contract proposals related to various phases of management information were pending. This represents a considerable Agency effort to improve operations and solve problems in the information field. However, these efforts are not coordinated. In most instances proposals were made with no indication of action taken. Research funds should be used to develop information systems applicable to cooperating country and AID activities. The various in-house staffs now working on a variety of individual, unrelated information studies could achieve much more significant results as part of an integrated and coordinated effort under the direction of an Information Management Office.

e. Improvement of Program and Resource Management. To accomplish significant reductions of costs and more effective utilization of resources requires a completely new approach to the problem of effectively coping with an ever-increasing volume and complexity of operational information. It means moving away from existing manual practices of information preparation, transmission, analysis, summarization, storage, retrieval and disposition. It requires utilizing the latest developments in computer and associated systems techniques. Much more significant payoffs can be derived when modern information science is applied to management decision making with regard to substantive operations rather than solely to financial and administrative functions. This is confirmed by several independent studies of ADP applications in large public institutions and private concerns. Agency top managers must understand and adapt themselves to the use of computers to substantive operations. A single, rational, cohesive and integrated information system must be developed for all activities of the Agency.

Substantial new costs are involved in the development and incremental implementation of a total modern information system for AID over the next three to five years. We believe that these costs need not be additional. They should be derived from the reallocation of staff and fund resources now applied to piecemeal, and uncoordinated information efforts.

To implement the proposals made for the long-range information system will be difficult as is the introduction of any major innovation. A determined effort applied continuously to this objective will pay large dividends in improved operations and more effective utilization of resources to achieve AID objectives. The following proposals for further action resulted from our two previous studies:

a. Approve proposals for an AID Information System including AID participation in a Foreign Affairs Information Management System as recommended in Appendix H.

b. Establish an AID Information Management Office which will initially include functions of the present Data Systems Planning and Operations Division (MP/DSPO), Statistics and Reports Division (A/SRD), and Communication and Records Management Branch (GSD/CR).

c. Conduct an organization study to determine other Agency elements now responsible for significant information management functions which should be included under the Information Management Office. This study should consider the specific functions, staff and appropriate transfer dates.

d. Approved elimination in 56 recurring reports and reduce frequency of 37 others as recommended. Authorize the Information Management Office to make substitution to the extent any office can demonstrate compelling reasons for retaining any report recommended for elimination.

e. Authorize the development of an annual AID report in lieu of several annual reports now being prepared.

f. Assign authority for reports control to the Information Management Office, including control of one-time reports applying to more than one region.

g. Approve a follow-on project for a six months' pilot test of the TA project operations control system detailed in this report.

- The test will include all data for four USAIDs -- one in each region of the world, i.e., Nigeria, Turkey, Thailand, Ecuador.
- The test will run parallel with present operations to minimize disruption of present practices during the test period.
- Upon satisfactory completion of this pilot test, the TA information system should be implemented for all country programs.
- AID staff effort of four man-years should be assigned to this pilot test (four man-years). Contractual services of

the order of $100,000 should be authorized for contract staff, equipment rental and other data processing requirements.

h. Approve the development of a detailed plan for the design and implementation of an integrated information system capable of supporting the total spectrum of AID activities. This effort should be concurrent with the pilot test, and within the broad guidelines already established by the overall FAIME Section "A" study.

APPENDIX A

SUMMARY OF RECOMMENDED CHANGES

RECURRING REPORTS

SUMMARY OF RECOMMENDED CHANGES
RECURRING REPORTS

APPENDIX A

REQUIRED BY	UNCHANGED		DISCONTINUED	MONTHLY TO QUARTERLY	QUARTERLY TO ANNUAL	OTHER	TOTAL
U. Series							
EXSEC	2		0	0	0	0	2
CLS	1		0	0	0	0	1
OPS	1		0	0	0	0	1
CONT	11		8	8	2	5	34
TCR	2		0	0	0	0	2
MR	5		1	1	1	1	9
PA	5		3	0	0	0	8
GSD	7		2	0	0	0	9
IT	1		2	0	1	0	4
SRD	0		2	0	0	0	2
MP	2		0	0	0	0	2
RBs	4		25	0	0	0	29
TOTAL	41		43	9	4	6	103
W. Series							
EXSEC	4	1*	0	0	0	0	4
CLS	6	0*	0	0	0	0	6
MIS	1	0*	0	0	0	0	1
PC	3	1*	0	0	0	0	3
CONT	47	25*	6	13	3	0	69
MR	7	5*	4	0	0	0	12
PA	28	16*	0	0	0	0	28
PS	12	10*	0	0	0	0	12
IT	1	0*	0	0	0	0	1
SRD	6	2*	2	0	1	0	9
MP	9	9*	0	0	0	0	9
RBs	19	0*	1	0	0	0	20
TOTAL	143	69*	13	13	4	1	174
GRAND TOTAL	184		56	22	8	7	277

*Number of external requirement reports included in the Unchanged Column

APPENDIX A

Recurring Reports Recommended for Discontinuance

Report Number	Title
W - 248	Pipeline Report
W - 307	Closed Allotment Accounts
W - 253	Project Activity Report
W - 257	Report on Year Balances on PAs (Dollar)
W - 260	Report on PIO/C Expenditures (Run 59)
W - 289	Status of Appropriation Accounts
W - 454*	Status of PL 480 Title II Programs
W - 456*	Status of PL 480 Title III Programs
W - 412	Relief Shipments by Voluntary Agencies
W - 413***	Register of Voluntary Agencies
W - 128	Management Report
W - 138	Gross National Product and Annual Growth Estimates
W - 440	Contractor Performance
U - 202	USAID Controller Activity Report
U - 202a	USAID Audit Accomplishments
U - 105	Cable SALT Report
U - 253	AID Cost of Obtaining Excess Property
U - 400**	Annual Object Class Report
U - 402**	F-7 Annual Object Class Report AID - 7 - 113
U - 403**	Foreign Currency Trust Fund Report
U - 306	Status of Actions Taken in Completed Audits
U - 245	Supply Advisors Report
U - 301	Post Report
U - 314	Post Language Program Report
U - 517	Absentee Voting Report
U - 246	Special Authorized Construction Sec 636(d)
U - 506	Acquisition of Vehicles
U - 418	Participant Follow-up Activities
U - 437	Third Country Training - Potential Workload
U - 411	Consolidated Statement - Central Government Finance
U - 690	Consolidated Statement - Central Government Supplement
U - 201	Administrative Report
U - 509	Distribution of Surplus Agricultural Commodities PL 480 Title III
U - 513	End of Tour Report
U - 660	Philippines - Industrial Development Center
U - 698	Somalia - Local Personnel Staffing
U - 311	Korea - Summary of U. S. Economic Aid from 1954
U - 623	Korea - Supporting Assistance

Report Number	Title
U - 685	Korea - Counterpart Project Status Report
U - 307	Evaluation of Contractor Performance
U - 310	Goal and Activity Progress Report
U - 420	Contract Activities
U - 510	Evaluation of Contractor Progress Report
U - 640	Greece - Balance of Payments and Other Data
U - 610	China - Key Statistical Data in Taiwan
U - 688	China - Foreign Exchange Reserves
U - 652	Laos - Statistical Bulletin
U - 632	Vietnam - Statistical Bulletin
U - 692	Nepal - Biweekly report from Director
U - 145	LA - Monthly Mission Project Report
U - 099	AFR - Situation Report
U - 672	Ethiopia - Project Progress Report
U - 674	China - Project Progress Report
U - 313	Self-Help and Accomplishments
U - 609	China - List of AID Financial Industry Projects
U - 520	Project History and Analysis Report

Recurring Reports Recommended for Frequency Change

Monthly to Quarterly

Report Number	Title
W - 209	Country Financial Report
W - 229	Funds Status 72 x 6117 Irrevocable Letters of Credit
W - 249	Funds Status 72 x 6114 Restricted Account - U. S. Treasury
W - 210	Financial Summary; Foreign Economic Assistance
W - 211	Appropriations Allotment Report
W - 212	Foreign Assistance Program - Status of Funds
W - 254	Notification Report of Foreign Currency Authorizations
W - 206	Cooley Fund Availability
W - 239	Financial Summary - Investment Guarantee Program
W - 244	Loan Activity Report
W - 204	Detailed Status of Selected Allotment Accounts
W - 291	Operational Year Budget
W - 270	Action Status - AID Issued Audit Report Recommendations
U - 101	SALT and Reconciliations with D.O. Accounts
U - 101a	SALT and Reconciliations with D.O. 72 x 6117
U - 106	SALT and Reconciliations with D.O. AID - 7 - 109 A, B, C
U - 107	F - 1a Dollar Denominated Allotment Withdrawal AID - 7 - 110

Report Number	Title
U - 108	Cash Status, See 402 and 505(a) Foreign Currency AID - 7 - 11A
U - 109	F2 Cash Status PL 480 Title I Foreign Currency AID - 7 - 11B
U - 111	Interim Reporting - Trust Fund 72 FT 891
U - 141	Accounts Receivable Transactions
U - 521	Country Contracting Under Procurement Authorizations

Recurring Reports Recommended
for Frequency Change

Quarterly to Annual

Report Number	Title
W - 213	F.A. Program - Status of Foreign Currency Funds
W - 224	Status of Loan Agreements
W - 238	Financial Summary - Investment Guaranty Program
W - 129	Operations Report
U - 205	Counterpart - Special Accounting Cash Summary AID - 7 - 83
U - 207	Counterpart - Special Accounting - Detail Country Purposes AID - 7 - 84
U - 251	USAID General Ledger Trial Balance
U - 137	Third Country Training

Other Reports Less Frequently Produced

W - 409	Voluntary Agency Exports (semi-annual to annual)
U - 104	Object Classification - Administrative Funds (Monthly to annual)
U - 214	Joint Entity Contributions and Income (Semi-annual to annual)
U - 215	Joint Entity Statement - Project Operations (Semi-annual to annual)
U - 216	Joint Entity, Financial Condition (Semi-annual to annual)
U - 305	Semi-Annual Audit Accomplishment (Semi-annual to annual)
U - 300	Payment for Engineering Fees in Excess $25,000 (Semi-annual to annual)

* MR requests these reports be continued in the information system until the new automated system can produce similar information in printouts.

** CONT has stated that the only requirement for these three reports (Annual Object Class Report; F-7 Annual Object Class Report AID - 7 - 113; Foreign Currency Trust Fund Report) is one imposed by the Bureau of the Budget.

*** This material to be included in W-409.

APPENDIX B

OUTPUT REPORT

TABLE OF CONTENTS

PENDING AND APPROVED PROJECTS COMPARED
TO ACTIVE FUNDED PROJECTS

As of _____
(Date)

(Dollars in Thousands)

REGION	Proposed Projects		Active Funded Projects	
	Number	Total Cost[1]	Number	Total Cost[1]
AFR				
FE				
LA				
NESA				
WASH				
TOTAL				

[1] Total Cost includes Coop Country contribution.

Note: The larger choice we have the increased likelihood we will (1) have better projects and (2) encourage others to undertake them.

STATUS OF PENDING AND APPROVED PROPOSED PROJECTS

As of _____
(Date)

(Dollars in Thousands)

REGION	Pending Projects				Approved Projects			
	Less Than 6 Months		More Than 6 Months		Less Than 1 Year		More Than 1 Year	
	Number	Total Cost[1]	Number	Total Cost[1]	Number	Total Cost[1]	Number	Total Cost[1]
AFR								
FE								
LA								
NESA								
WASH								
TOTAL								

[1] Total Cost includes Coop Country contribution.

Note: How quickly does Washington respond to mission project proposals?
What is age of approved projects not yet implemented?
Does the mission have adequate backlog of approved projects?

DISPOSITION OF PROPOSED PROJECTS

Cum from _____ (Date)

to _____ (Date)

REGION	Number Received	Number Pending	Number Approved	Number Disapproved	Number Implemented	
					AID	Other
AFR						
FE						
LA						
NESA						
WASH						
TOTAL						

Note: How are we disposing of backlog of approved projects?
How good are project proposals?
How successful are we in getting the country and others to undertake them?

DISTRIBUTION OF AVAILABLE FUNDS

(Dollars in Thousands)

Cum from _____ (Date) to _____ (Date)

REGION	Total Allocated Dollars[1]	Percent Committed To	
		Active Projects	New Projects
AFR			
FE			
LA			
NESA			
WASH			
TOTAL			

[1] Total U.S. funds available.

Note: How much choice do we have?
Are we "locked in"?

SIZE AND DURATION OF ACTIVE PROJECTS

As of _____ (Date)

REGION	Number Under $10,000[1]	Average Age	Number $10,000 to $50,000[1]	Average Age	Number $50,000 to $100,000[1]	Average Age	Number $100,000 to $500,000[1]	Average Age	Over $500,000[1]	Average Age	Other[2]	Average Age
AFR												
FE												
LA												
NESA												
WASH												
TOTAL												

[1] Cost does not include Coop Country contributions.

[2] Technical Assistance as component of capital assistance projects.

Note: Agency has established project concentration as desirable criteria.

PERCENT OF COOPERATING COUNTRY CONTRIBUTION TO TOTAL COST

As of _____
(Date)

REGION	Active			Proposed	
	All Prior	This Year	All Subsequent	First Year	All Subsequent Years
AFR					
FE					
LA					
NESA					
WASH					
TOTAL					

Note: We should strive for increasing Coop Country contribution and take-over.

PROGRAM EMPHASIS BY ACTIVITY AREA -- ACTIVE PROJECTS --
SHOWN AS A PERCENT OF TOTAL COST[1]

As of _____
(Date)

REGION	Agriculture	Industry & Mining	Transportation	Labor	Health & Sanitation	Education	Administration & Public Safety	Community Development	Private Enterprise	Miscellaneous	Total Percent
AFR											100%
FE											100%
LA											100%
NESA											100%
WASH											100%
WORLD WIDE AVERAGE											100%

[1] Total Cost includes Coop Country Contribution.

Note: What activity fields are we emphasizing - i.e., agriculture vs. health, private enterprise vs. transportation.

PERCENT DISTRIBUTION OF TECHNICIANS

As of _____
(Date)

REGION	THIS PERIOD Percent of Technicians on Board				LAST PERIOD Percent of Technicians on Board			
	Total Number	Direct	PASA	Contract	Total Number	Direct	PASA	Contract
AFR								
FE								
LA								
NESA								
WASH.								
WORLDWIDE AVERAGE								

Notes: (1) What is the comparison of technicians obtained through direct hire, PASA or contract? The assumption might be that PASA and contract procurement of technicians are better investments.

(2) Are direct hire personnel decreasing as PASA and contract personnel increase?

PLANNED OBLIGATION VS. ACTUAL OBLIGATIONS
FOR CURRENT YEAR
(In Thousands of Dollars)

As of June 31
(Date)

REGION	Personnel Services						Participants		Commodities		Other		Coop Country	Total	
	Direct		PASA		Contract										
	Planned Obligation	Percent Obligated	Planned Obligation	Percent Obligated	Planned Obligation	Percent Obligated	Planned Obligation	Percent Obligated	Planned Obligation	Percent Obligated	Planned Obligation	Percent Obligated	Committed	Planned Obligation	Percent Obligated
AFR															
FE															
LA															
NESA															
WASH															
TOTAL															

Note: Distribution Frequency - End of Fiscal Year.
Shows how successful we are in getting project components obligated. Identifies problem areas and indicates whether targets are realistic.

PLANNED EXPENDITURE VS. ACTUAL EXPENDITURES
FOR CURRENT YEAR
(In Thousands of Dollars)

As of June 31
(Date)

REGION	Personnel Services						Participants		Commodities		Other		Coop Country		Total	
	Direct		PASA		Contract											
	Planned Expenditure	Percent Expended	Planned Expenditure	Percent Expended	Planned Expenditure	Percent Expended	Planned Expenditure	Percent Expended	Planned Expenditure	Percent Expended	Planned Expenditure	Percent Expended	Planned Expenditure	Percent Expended	Planned Expenditure	Percent Expended
AFR																
FE																
LA																
NESA																
WASH																
TOTAL																

Note: Distribution Frequency - End of Fiscal Year
Shows how successful we were in meeting annual implementation schedule.

PIPELINE

UNLIQUIDATED OBLIGATION AS A % OF CURRENT YEAR EXPENDITURES

As of June 31
(Date)

REGION	Personnel Services			Participants	Commodities	Other	TOTAL
	Direct	PASA	Contract				
AFR							
FE							
LA							
NESA							
WASH							
TOTAL							

Note: Indicates how long funds will last. (100% = one year's expenditure rate)

STATUS OF ACTIVE PROJECT COMPONENTS

For period from _____ (Date)

to _____ (Date)

	Number this period	Percent late this period	Percent late last period	Number this period	Percent late this period	Percent late last period	Number this period	Percent late this period	Percent late last period	Number this period	Percent late this period	Percent late last period
TECHNICIANS	PIO/T of SPAR Received in Wash.			Nominations Made			Nominations Accepted			Employees Depart U. S.		
Direct Hire												
Participating Agency												
Contract												
PARTICIPANTS	PIO/P Received in Wash.			Call Forwards			Participants Depart for United States			Participants Depart from United States		
COMMODITIES	PIO/C Received in Wash.											

Note: Are project components on schedule? Is situation improving or deteriorating?

PROJECT IMPLEMENTATION TIME

Cum from _____ (Date)

to _____ (Date)

COMPONENTS	AVERAGE NUMBER OF MONTHS			
TECHNICIANS	PIO/T of SPAR Received in Wash.	Nominations Made	Nominations Accepted	Employees Depart U. S.
Direct Hire				
Participating Agency				
Contract				
PARTICIPANTS	PIO/P Received in Wash.	Call Forwards	Participants Depart for United States	Participants Depart from United States
COMMODITIES	PIO/C Received In Wash.			

Note: Shows average months required for processing and delivering project components from execution of the ProAg through each successive step until Mission Orders (PIOs or SPARs) are filled.

COMPLETION OF ACTIVE PROJECTS

From _____ (Date) to _____ (Date)

REGION	Total Number of Active Projects	Average Age Number of Years	Average Duration Number of Years	Completion Date Changed Average Number of Months		Number Completed
				Extended	Shortened	
AFR						
FE						
LA						
NESA						
WASH						
TOTAL						

Note: How many times have we extended project completion date? By how much? Are we completing projects at a satisfactory rate?

COMPARISON OF BEST ACTIVE PROJECTS BY ACTIVITY FIELD

QUARTILE	Agriculture	Industry & Mining	Trans-portation	Labor	Health and Sanitation	Education	Public Admin-istration & Public Safety	Community Development	Private Enterprise	Miscellaneous
TOP QUARTILE										
SECOND QUARTILE										
THIRD QUARTILE										
BOTTOM QUARTILE										
TOTAL PERCENT										
TOTAL NUMBER										
TOTAL COST										

Total Number of Projects _____. Total Cost of Projects $_____.

Note: In what activities are our best projects? The norm is 25%.

COOPERATING COUNTRY ATTITUDES TOWARD PROJECT

As of _____

REGION		Total No. of Projects	ATTITUDES				
			NEGATIVE	MIXED	ADEQUATE	GOOD	OUTSTANDING
AFR	Government						
	Citizens						
FE	Government						
	Citizens						
LA	Government						
	Citizens						
NESA	Government						
	Citizens						
WASH	Government						
	Citizens						
TOTAL	Government						
	Citizens						

COOPERATING COUNTRY PROJECT TAKE-OVER AND CONTINUATION PLANS

As of _____

REGION	Total No. of Projects	No Such Plans	Uncertain	Intends to Take over	Anxious to Take Over
AFR					
FE					
LA					
NESA					
WASH					
TOTAL					

COMPARISON OF PROJECT COMPONENT PERFORMANCE RATINGS

As of _____
(Date)

RANKINGS	Percentage of								
	Technicians			Returned Participant	Commodities		AID/W Back Stopping	Coop Country	Over-All Performance
	Direct	PASA	Contract		Quality	Use			
Unsatisfactory									
Marginal									
Satisfactory									
Good									
Outstanding									

Note: Is one project component performance better than another, i.e., are technicians obtained by Direct Hire performance better or worse than technicians obtained by contract?

In what areas do we have problems?

UTILIZATION OF RETURNED PARTICIPANTS

As of _____

FACTORS	AFR	FE	LA	NESA	TOTAL
Received inadequate training					
Assigned to positions below level of competence					
Assigned to positions above level of competence					
Using their training substantially as planned					
Not being utilized to take good advantage of training					
Lost to Project but are using training					
Are no longer in contact with USAID					

APPENDIX C

PROPOSED PROJECT DATA

APPENDIX C

PROPOSED PROJECT DATA

DATA ELEMENT		DATA SOURCE		
		First Year	All Subsequent Years	No. of Characters
	Report Number	Column, Row E1a	Column, Row E1a	
C. 1	Project Identification			
	(1) Project Title	4	N/A	12
	(2) Project Number	4	N/A	14
	(3) Approved Start Date	5	N/A	6
	(4) Completion Date	5	N/A	6
	(5) Prior References	6	N/A	14
	(6) Security Classification	-	N/A	1
	(7) Appropriation Symbol	a	N/A	1
	(8) Allotment Symbol & Charge	-	N/A	1
	(9) Project Status	-	N/A	1
C. 2	Financial Data			
C. 2. 1	Aid Dollar Cost (Obligations)			
	(1) Direct Hire Personnel	e1Aid, IVA	e1Aid, VA	3
	Appropriation Source	a	a	1
	Loan or Grant	b	b	1
	(2) PASA Personnel	e1PASA, IVA	e1PASA, VA	3
	Appropriation Source	a	a	1
	Loan or Grant	b	b	1
	(3) Contract Personnel	e1Contract, IVA	e1Contract, VA	3
	Appropriation Source	a	a	1
	Loan or Grant	b	b	1
	(4) U.S. Agency Participants	f1, IVA	f1, VA	3
	Appropriation Source	a	a	1
	Loan or Grant	b	b	1
	(5) Contract Participants	f2, IVA	f2, VA	3
	Appropriation Source	a	a	1
	Loan or Grant	b	b	1

DATA ELEMENT	DATA SOURCE		
	First Year	All Subsequent Years	No. of Characters
Report Number	Column, Row E1a	Column, Row E1a	
C. 2, 1 Aid Dollar Cost (Obligations) (Cont'd)			
(6) U.S. Agency Commodities	g1, IVA	g1, VA	3
Appropriation Source	a	a	1
Loan or Grant	b	b	1
(7) Contract Commodities	g2, IVA	g2, VA	3
Appropriation Source	a	a	1
Loan or Grant	b	b	1
(8) U.S. Agency Other Costs	h1, IVA	h1, VA	3
Appropriation Source	a	a	1
Loan or Grant	b	b	1
(9) Contract Other Costs	h2, IVA	h2, VA	3
Appropriation Source	a	a	1
Loan or Grant	b	b	1
Report Number	E1b	E1b	
C. 2. 2 Local Cost (Obligated)			
(1) Trust Fund Facilities & Equip.	c2, IVAii	c2, VAii	3
Source	2	2	1
Loan or Grant	3	3	1
(2) Trust Fund Operation Support (Other)	d2b, IVAii	d2b, VAii	3
Source	2	2	1
Loan or Grant	3	3	1
(3) PL 480 Facilities & Equip.	c2, IVB	c2, VB	3
Source	2	2	1
Loan or Grant	3	3	1
(4) PL 480 Operation Support (Other)	d2b, IVB	d2b, VB	3
Source	2	2	1
Loan or Grant	3	3	1
(5) Other L. C. Facilities & Equip.	c2, IVAiii	c2, VAiii	3
Source	2	2	1
Loan or Grant	3	3	1
(6) Other L. C. Operation	d2b, IVAiii	d2b, VAiii	3
Source	2	2	1
Loan or Grant	3	3	1

DATA ELEMENT	First Year	All Subsequent Years	No. of Characters
	Column, Row	Column, Row	
Report Number	E1b	E1b	
C. 2. 2 Local Cost (Disbursed - Estimated)			
(1) Local Costs Chgd to $ Accts.			
Facilities & Equipment	c2, IVAi	c2, VAi	3
Source	2	2	1
Loan or Grant	3	3	1
(2) LC Chgd to $ Accts. Operational Support			
U. S. Personnel	d1a, IVAi	d1a, VAi	3
Source	2	2	1
Loan or Grant	3	3	1
(3) LC Chgd to $ Acct Operational Support			
Non-U. S. Personnel	d1b, IVAi	d1b, VAi	3
Source	2	2	1
Loan or Grant	3	3	1
(4) LC Chgd to $ Acct Operational Support			
Other	d2b, IVAi	d2b, VAi	3
Source	2	2	1
Loan or Grant	3	3	1
(5) Trust Fund Facilities & Equip.	c2, IVAii	c2, VAii	3
Source	2	2	1
Loan or Grant	3	3	1
(6) Trust Fund - Operation Support			
U. S. Personnel	d1a, IVAii	d1a, VAii	3
Source	2	2	1
Loan or Grant	3	3	1
(7) Trust Fund - Operation Support			
Non-U. S. Personnel	d1b, IVAii	d1b, VAii	3
Source	2	2	1
Loan or Grant	3	3	1
(8) Trust Fund - Operation Support - Other	d2b, IVAii	d2b, VAii	3
Source	2	2	1
Loan or Grant	3	3	1
(9) PL 480 Facilities & Equip.	c2, IVB	c2, VB	3
Source	2	2	1
Loan or Grant	3	3	1

DATA ELEMENT	DATA SOURCE		
	First Year	All Subsequent Years	No. of Characters
	Column, Row	Column, Row	
Report Number	E1b	E1b	
C. 2. 2 Local Cost (Disbursed - Estimated) (Cont'd)			
(10) PL 480 Operation Support-U. S. Personnel	d1a, IVB	d1a, VB	3
Source	2	2	1
Loan or Grant	3	3	1
(11) PL 480 Operation Support for Non-U. S. Personnel	d1b, IVB	d1b, VB	3
Source	2	2	1
Loan or Grant	3	3	1
(12) PL 480 Operation Support-Other Costs	d2b, IVB	d2b, VB	3
Source	2	2	1
Loan or Grant	3	3	1
(13) Other - Facilities & Equip.	c2, IVAiii	c2, VAiii	3
Source	2	2	1
Loan or Grant	3	3	1
(14) Other - Operation Support U. S. Personnel	d1a, IVAiii	d1a, VAiii	3
Source	2	2	1
Loan or Grant	3	3	1
(15) Other - Operation Support Non-U. S. Personnel	d1b, IVAiii	d1b, VAiii	3
Source	2	2	1
Loan or Grant	3	3	1
(16) Other - Operation Support - Other Costs	c2, IVAiii	c2, VAiii	3
Source	2	2	1
Loan or Grant	3	3	1
C. 2. 3 Cooperating Country Cost Committed (Dollar Equivalents)	E1	E1	3
(1) Cash	E1Narrative	E1Narrative	3
(2) In Kind (Estimated Value)	E1Narrative	E1Narrative	3
C. 3 Project Data Summary			

DATA ELEMENT	DATA SOURCE		
	First Year	All Subsequent Years	No. of Characters
	Column , Row	Column, Row	
Report Number	Elc	Elc	
C. 3. 1 Personnel U. S.			
(1) Number of Man Years Direct	IAe, Direct	IAf, Direct	2
(2) Number of Man Years PASA	IAe, PASA	IAf, PASA	2
(3) Number of Man Years Contract	IAe, Contract	IAf, Contract	2
(4) Number on Board End FY Direct	IBe, Direct	IBf, Direct	2
(5) Number on Board End FY PASA	IBe, PASA	IBf, PASA	2
(6) Number on Board End FY Contract	IBe, Contract	IBf, Contract	2
C. 3. 1 Personnel Non-U. S.			
Same as Personnel U. S. except Reference Row labeled Non-U. S.			
C. 3. 2 Participants			
(1) Number trained in U. S.	IIAe	IIAf	2
(2) Number trained in Third Country	IIBe	IIBf	2

APPENDIX D

ACTIVE PROJECTS DATA

APPENDIX D

ACTIVE PROJECTS DATA

DATA ELEMENT	DATA SOURCE					
	Operational Year		Budget Year	Planning Year	All subsequent Years	Number of Characters
	Actual	Estimated	Estimated	Estimated	Estimated	
Report Number	U203	E1a	E1a	E1a	E1a	
	Column	Column, Row	Col., Row	Col., Row	Col., Row	
D.1 Project Identification						
(1) Project Title	N/A	4	N/A	N/A	N/A	12
(2) Project Number	N/A	3	N/A	N/A	N/A	14
(3) Approved Start Date	N/A	5	N/A	N/A	N/A	6
(4) Completion Date	N/A	5	N/A	N/A	N/A	6
(5) Prior References	N/A	6	N/A	N/A	N/A	14
(6) Security Classification	N/A	-	N/A	N/A	N/A	1
(7) Appropriation Symbol	N/A	7a	N/A	N/A	N/A	1
(8) Allotment Symbol & Charge	N/A	-	N/A	N/A	N/A	1
D.2 Financial Data						
D.2.1 Aid Dollar Cost (Gross Obligation)*						
(1) Direct Hire Personnel	29	e1Aid IIA	e1Aid IIIA	e1Aid IVA	e1Aid VA	3
Appropriation Source	3	a				1
Loan or Grant		b				1
(2) PASA Personnel	30	e1PASA IIA	e1PASA IIIA	e1PASA IVA	E1PASA VA	3
Appropriation Source	3	a				1
Loan or Grant		b				1
(3) Contract Personnel	31	e2 IIA	e2 IIIA	e2 IVA	e2 VA	3
Appropriation Source	3	a				1
Loan or Grant		b				1

*Net obligations for the actual year are found by project component in Row IA of the E1a table.

DATA ELEMENT	DATA SOURCE									
	Operational Year			Budget Year		Planning Year		All subsequent Years		Number of Characters
	Actual	Estimated		Estimated		Estimated		Estimated		
Report Number	U203	E1a		E1a		E1a		E1a		
	Column	Column, Row		Col., Row		Col., Row		Col., Row		
D.2.1 Aid Dollar Cost (Cont'd) (Gross Obligation)										
(4) U.S. Agency Participants	32	f1	IIA	f1	IIIA	f1	IVA	f1	VA	3
Appropriation Source	3	a								1
Loan or Grant		b								1
(5) Contract Participants	33	f2	IIA	f2	IIIA	f2	IVA	f2	VA	3
Appropriation Source	3	a								1
Loan or Grant		b								1
(6) U.S. Agency Commodities	34	g1	IIA	g1	IIIA	g1	IVA	g1	VA	3
Appropriation Source	3	a								1
Loan or Grant		b								1
(7) Contract Commodities	35	g2	IIA	g2	IIIA	g2	IVA	g2	VA	3
Appropriation Source	3	a								1
Loan or Grant		b								1
(8) U.S. Agency Other Costs	36	h1	IIA	h1	IIIA	h1	IVA	h1	VA	3
Appropriation Source	3	a								1
Loan or Grant		b								1
(9) Contract Other Costs	37	h2	IIA	h2	IIIA	h2	IVA	H2	VA	3
Appropriation Source		a								1
Loan or Grant		b								1
D.2.1 Aid Dollar Cost (Expended)										
(1) Direct Hire Personnel	17	e1	IIB	e1	IIIB	N/A*		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1
(2) PASA Personnel	18	e1	IIB	e1	IIIB	N/A		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1

* N/A - Not Applicable

DATA ELEMENT	DATA SOURCE								
	Operational Year			Budget Year		Planning Year		All subsequent Years		Number of Characters
	Actual	Estimated		Estimated		Estimated		Estimated		
Report Number	U203	E1a		E1a		E1a		E1a		
	Column	Column, Row		Col., Row		Col., Row		Col., Row		
D.2.1 Aid Dollar Cost (Expended) (Cont'd)										
(3) Contract Personnel	19	32	IIB	e2	IIIB	N/A		N/A		3
Appropriation Source	3		a							1
Loan or Grant			b							1
(4) U.S. Agency Participant	20	f1	IIB	f1	IIIB	N/A		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1
(5) Contract Participants	21	f2	IIB	f2	IIIB	N/A		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1
(6) U.S. Agency Commodities	22	g1	IIB	g1	IIIB	N/A		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1
(7) Contract Commodities	23	g2	IIB	g2	IIIB	N/A		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1
(8) U.S. Agency Other Costs	24	h1	IIB	h1	IIIB	N/A		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1
(9) Contract Other Costs	25	h2	IIB	h2	IIIB	N/A		N/A		3
Appropriation Source	3	a								1
Loan or Grant		b								1
D.2.2 Local Cost (Obligated)										
(1) Trust Fund Facilities & Equip.		c2	IIAii	c2	IIIA	c2	IVA	c2	VA	3
Source		2								1
Loan or Grant		3								1

DATA ELEMENT	DATA SOURCE								
	Operational Year		Budget Year		Planning Year		All subsequent Years		
	Actual	Estimated	Estimated		Estimated		Estimated		Number of Characters
Report Number	U203	E1a	E1a		E1a		E1a		
	Column	Column, Row	Col., Row		Col., Row		Col., Row		
D.2.2 Local Cost (Obligated)(Cont'd)									
(2) Trust Fund Operation Support (Other)		d2b	IIAii	d2b	IIIA	d2b	IVA	d2b	VA	3
Source		2								1
Loan or Grant		3								1
(3) PL 480 Facilities & Equip.		c2	IIB	c2	IIIB	c2	IVB	c2	VB	3
Source		2								1
Loan or Grant		3								1
(4) PL 480 Operation Support (Other)		d2b	IIB	d2b	IIIB	deb	IVB	d2b	VB	3
Source		2								1
Loan or Grant		3								1
(5) Other L.C. Facilities & Equip.		c2	IIAiii	c2	IIIA	c2	IVA	c2	VA	3
Source		2								1
Loan or Grant		3								1
(6) Other L.C. Operation Support (Other)		d2b	IIAiii	d2b	IIIA	d2b	IVA	d2b	VA	3
Source		2								1
Loan or Grant		3								1
D.2.2 Local Cost (Disbursed)										
(1) Local Costs Chgd. to $ Accts. Facilities & Equipment		c2	IIAi	c2	IIIA	c2	IVA	c2	VA	3
Source		2								1
Loan or Grant		3								1
(2) L.C. Chgd. to $ Accts. Operational Support U.S. Personnel		d1a	IIAi	d1a	IIIA	d1a	IVA	d1a	VA	3
Source		2								1
Loan or Grant		3								1

DATA ELEMENT	DATA SOURCE								
	Operational Year		Budget Year		Planning Year		All subsequent Years		Number of Characters
	Actual	Estimated	Estimated		Estimated		Estimated		
Report Number	U203	E1a	E1a		E1a		E1a		
	Column	Column, Row	Col., Row		Col., Row		Col., Row		
D.2.2 Local Cost (Disbursed)(Cont'd)									
(3) L.C. Chgd. to $ Acct. Operational Support Non-U.S. Personnel	d1b	IIAi	d1b	IIIA	d1b	IVA	d1b	VA	3
Source	2								1
Loan or Grant	3								1
(4) L.C. Chgd. to $ Acct. Operational Support (Other)	d2b	IIAi	d2b	IIIA	d2b	IVA	d2b	VA	3
Source	2								1
Loan or Grant	3								1
(5) Trust Fund Facilities & Equip.	c2	IIAii	c2	IIIA	c2	IVA	c2	VA	3
Source	2								1
Loan or Grant	3								1
(6) Trust Fund-Operation Support U.S. Personnel	d1a	IIAii	d1a	IIIA	d1a	IVA	d1a	VA	3
Source	2								1
Loan or Grant	3								1
(7) Trust Fund - Operation Support	d1b	IIAii	d1b	IIIA	d1b	IVA	d1b	VA	3
Source	2								1
Loan or Grant	3								1
(8) Trust Fund - Operation Support (Other Costs)	d2b	IIAii	d2b	IIIA	d2b	IVA	d2b	VA	3
Source	2								1
Loan or Grant	3								1
(9) P.L. 480 Facilities & Equip.	c2	IIB	c2	IIIB	c2	IVB	c2	VB	3
Source	2								1
Loan or Grant	3								1
(10) P.L. 480 Operation Support	d1a	IIB	d1a	IIIB	d1a	IVB	d1a	VB	3
Source	2								1
Loan or Grant	3								1

DATA ELEMENT	DATA SOURCE								
	Operational Year			Budget Year		Planning Year		All subsequent Years		Number of Characters
	Actual	Estimated		Estimated		Estimated		Estimated		
Report Number	U203	E1a		E1a		E1a		E1a		
	Column	Column,	Row	Col.,	Row	Col.,	Row	Col.,	Row	
D.2.2 Local Cost (Disbursed)(Cont'd)										
(11) P.L. 480 Oper. Support for Non-U.S. Personnel		d1b	IIB	d1b	IIIB	d1b	IVB	d1b	VB	3
Source		2								1
Loan or Grant		3								1
(12) P.L. 480 Operation Support (Other Costs)		d2b	IIB	d2b	IIIB	d2b	IVB	d2b	VB	3
Source		2								1
Loan or Grant		3								1
(13) Other - Facilities & Equip.		c2	IIAiii	c2	IIIA	c2	IVA	c2	VA	3
Source		2								1
Loan or Grant		3								1
(14) Other - Operation Support U.S. Personnel		d1a	IIAiii	d1a	IIIA	d1a	IVA	d1a	VA	3
Source		2								1
Loan or Grant		3								1
(15) Other - Operation Support Non-U.S. Personnel		d1b	IIAiii	d1b	IIIA	d1b	IVA	d1b	VA	3
Source		2								1
Loan or Grant		3								1
(16) Other - Operation Support (Other Costs)		c2	IIAiii	c2	IIIA	c2	IVA	c2	VA	3
Source		2								1
Loan or Grant		3								1
D.2.2 Local Cost (Obligated)	U204	N/A		N/A		N/A		N/A		
(1) Project Component Participant	13	N/A		N/A		N/A		N/A		3
Source	4									1

DATA ELEMENT	DATA SOURCE					
	Operational Year		Budget Year	Planning Year	All subsequent Years	Number of Characters
	Actual	Estimated	Estimated	Estimated	Estimated	
Report Number	U204	N/A	N/A	N/A	N/A	
	Column	Column, Row	Col., Row	Col., Row	Col., Row	
D.2.2 Local Cost (Obligated)(Cont'd)						
(2) Project Component U.S. Technicians	15	N/A	N/A	N/A	N/A	3
Source	4					1
(3) Project Component - Misc.	17	N/A	N/A	N/A	N/A	3
Source	4					1
(4) Project Component - Contract Services	19	N/A	N/A	N/A	N/A	3
Source	4					1
(5) Project Component Commodities	21	N/A	N/A	N/A	N/A	3
Source	4					1
(6) Project Component Other	23	N/A	N/A	N/A	N/A	3
Source	4					1
D.2.2 Local Cost (Expended)						
(1) Project Component Participant	14	N/A	N/A	N/A	N/A	3
Source	4					1
(2) Project Component U.S. Technicians	16	N/A	N/A	N/A	N/A	3
Source	4					1
(3) Project Component - Misc.	18	N/A	N/A	N/A	N/A	3
Source	4					1
(4) Project Component Contract Services	20	N/A	N/A	N/A	N/A	3
Source	4					1

DATA ELEMENT	DATA SOURCE					
	Operational Year		Budget Year	Planning Year	All subsequent Years	
	Actual	Estimated	Estimated	Estimated	Estimated	Number of Characters
Report Number	U204	N/A	N/A	N/A	N/A	
	Column	Column, Row	Col., Row	Col., Row	Col., Row	
D.2.2 Local Cost (Expended)(Cont'd)						
(5) Project Component Commodities	22	N/A	N/A	N/A	N/A	3
Source	4					1
(6) Project Component - Other	24	N/A	N/A	N/A	N/A	3
Source	4					1
D.2.3 Cooperating Country Cost (Dollar Equivalents) Committed	TAPER**	PROAG			TAPER	
(1) Cash		9a	-	-	VIIH, cash*	3
(2) In Kind (Estimated Value)		VI	-	-	VIIH, in kind*	3
Cooperating Country Cost (Dollar Equivalents) Disbursed						
(1) Cash	VIH3 (cash)	9a	N/A	N/A	N/A	3
(2) In Kind (Estimated Value)	VIH3 (in kind)	VI	N/A	N/A	N/A	3

*All subsequent years for Coop Country contribution equals total contribution less prior years and operational year.

**TAPER - Technical Assistance Project Evaluation Report.

DATA ELEMENT	DATA SOURCE					
	Actual	Estimated	Budget Year Estimated	Planning Year Estimated	All sub-sequent Years Estimated	Number of Characters
	Column	Column, Row	Col., Row	Col., Row	Col., Row	
Report Number		E1c	E1c	E1c	E1c	
D.3 Project Data Summary						
D.3.1 Personnel U.S.						
(1) Number of Man Years Direct		IAc, Direct	IAd	IAe	IAf	2
(2) Number of Man Years PASA		IAc, PASA	IAd	IAe	IAf	2
(3) Number of Man Years Contract		IAc, Contract	IAd	IAe	IAf	2
(4) Number on Board End FY Direct		IBc, Direct	IBd	IBe	IBf	2
(5) Number on Board End FY PASA		IBc, PASA	IBd	IBe	IBf	2
(6) Number on Board End FY Contract		IBc, Contract	IBd	IBe	IBf	2
D.3.1 Personnel Non-U.S.						
Same as Personnel U.S. except Reference Row labeled Non-U.S.						
D.3.2 Participants						
(1) Number Trained in U.S.		IIAc	IIAd	IIAe	IIAf	2
(2) Number Trained in Third Country		IIBc	IIBd	IIBe	IIBf	2

DATA ELEMENT	DATA SOURCE		Number of Characters
	Planned	Actual	
D.4 Project Work Schedule			
D.4.1 Participants			
(1) Submittal Date of PIO/P	With ProAg	With ProAg	8
Number of Participants	or Enclosed	PIO/P, 6	4
Description of Participants' Training	Schedule	PIO/P, 3	12
Recipient of Exception Notice	Mission		3
PIO/P Number	PIO/P, 2		12
(2) Call Forward Date	PIO/P, 5-3wk	Message fr IT	8
Number of Participants	PIO/P, 6	Message fr IT	4
Description of Participants' Training	PIO/P, 3	Message fr IT	12
Recipient of Exception Notice	International Training		3
PIO/P Number	PIO/P, 2		12
(3) Arrival in U.S. Date	PIO/P, 5	Message fr Mission	8
Number of Participants	PIO/P, 6	Message fr Mission	4
Description of Participants' Training	PIO/P, 3	Message fr Mission	12
Recipient of Exception Notice	Mission		3
PIO/P Number	PIO/P, 2		12
(4) Depart for Mission Date	PIO/P, 5 + 10	Message fr IT	8
Number of Participants	PIO/P, 6	Message fr IT	4
Description of Participants' Training	PIO/P, 3	Message fr IT	12
Recipient of Exception Notice	International Training		3
PIO/P Number	PIO/P, 2		
D.4.2 Technicians - Direct Hire			
(1) Submittal Date of SPAR	With ProAg	With ProAg	8
Description of Technician	or Enclosed Schedule	SPAR, 148	12
Recipient of Exception Notice	Mission		3
SPAR Number & Name of AID Employee When Available	SPAR, 3 N/A		12

DATA ELEMENT	DATA SOURCE		Number of Characters
	Planned	Actual	
D.4.2 Technicians - Direct Hire (Cont'd)			
(2) Nomination Sent to Mission Date	2 mo. fr submittal	Nomination Message	8
Description of Technician	SPAR, 126	to Mission fr	12
Recipient of Exception Notice		Regional Bureau	3
SPAR Number & Name of AID	Regional Bureau		
Employee When Available	SPAR, 3		12
	N/A		
(3) Nomination Accepted by Mission Date	1 mo. fr Nom. Sent	Nomination	8
Description of Technician	SPAR, 126	Acceptance fr	12
Recipient of Exception Notice		Mission	3
SPAR Number & Name of AID	Mission		
Employee When Available	SPAR, 3		12
	Nomination Acceptance Message fr Mission		
(4) Technicians Depart for Mission	SPAR, 126	Message to	8
Description of Technician		Mission fr	12
Recipient of Exception Notice		Regional Bureau	3
SPAR Number & Name of AID	Regional Bureau		
Employee When Available	SPAR, 3		12
D.4.2 Technicians - PASA			
(1) Submittal Date	With ProAg	With ProAg	8
Number of Technicians	or Enclosed	PIO/T, 8	4
Description of Technician	Schedule	PIO/T, 21	12
Recipient of Exception Notice	Mission		3
PIO/T Number & Name of	PIO/T, 2		
Employee When Available			12
(2) Nomination Sent to Mission Date	2 mo. fr submittal	Message fr	8
Number of Technicians	PIO/T, 8	Regional	4
Description of Technician	PIO/T, 21	Bureau	12
Recipient of Exception Notice	PIO/T, 11		3
PIO/T Number & Name of	PIO/T, 2		
Employee When Available	Message from Regional Bureau		12

DATA ELEMENT	DATA SOURCE		Number of Characters
	Planned	Actual	
D.4.2 Technicians - PASA (Cont'd)			
(3) Nomination Accepted by Mission Date	1 mo. fr nom. sent	Message fr Mission	8
Number of Technicians	PIO/T, 8		4
Description of Technician	PIO/T, 21		12
Recipient of Exception Notice	Mission		3
PIO/T Number & Name of Employee When Available	PIO/T, 2		
	Message from Mission		12
(4) Technicians Depart for Mission	PIO/T, 9	Message fr	8
Number of Technicians	PIO/T, 8	Regional Bureau	4
Description of Technician	PIO/T, 21		12
Recipient of Exception Notice	PIO/T, 11		3
PIO/T Number & Name of Employee When Available	PIO/T, 2		
	Message from Regional Bureau		12
D.4.2 Technicians - Contract			
(1) Submittal Date	With ProAg or Enclosed Schedule	With ProAg	8
Number of Technicians		PIO/T, 8	4
Description of Technician		PIO/T, 21	12
Recipient of Exception Notice	Mission		3
PIO/T Number & Name of Contractor When Available	PIO/T, 2		
			12
(2) Nomination Sent to Mission Date	2 mo. fr submittal	Message fr	8
Number of Technicians	PIO/T, 8	Regional Bureau	4
Description of Technician	PIO/T, 21		12
Recipient of Exception Notice	PIO/T, 11		3
PIO/T Number & Name of Contractor When Available	PIO/T, 2		
	Message from Regional Bureau		12
(3) Nomination Accepted by Mission Date	1 mo. fr nom. sent	Message fr	8
Number of Technicians	PIO/T, 8	Mission	4
Description of Technician	PIO/T, 21		12
Recipient of Exception Notice	Mission		3
PIO/T Number & Name of Contractor When Available	PIO/T, 2		
	Message from Mission		12

DATA ELEMENT	DATA SOURCE		Number of Characters
	Planned	Actual	
D.4.2 Technicians - Contract (Cont'd)			
(4) Technicians Depart for Mission	PIO/T, 9	Message fr	8
Number of Technicians	PIO/T, 8	Regional	4
Description of Technician	PIO/T, 21	Bureau	12
Recipient of Exception Notice		PIO/T, 11	3
PIO/T Number & Name of Contractor When Available		PIO/T, 2	
	Message from Regional Bureau		12
D.4.3 Commodities			
(1) Submittal Date of PIO/C	With ProAg	With ProAg	8
Number of Items	or Enclosed	PIO/C, 18	4
Total Dollar Amount	Schedule	PIO/C, 16	12
Recipient of Exception Notice		Mission	3
PIO/C Number & Source		PIO/C, 2, 15, 17	12
Contractor's Name			

DATA ELEMENT	DATA SOURCE	Actual Year	Number of Characters
Report Number		TAPER Face Sheet Item No.	
D. 5 Project Evaluation Data			
(1)	Date of TAPER	FS2	6
(2)	Project Title	FS3	12
(3)	Project Number	FS4	14
(4)	Date Original ProAg signed	FS5	6
(5)	Date of Estimated US Financial Completion	FS6	6
(6)	Date of Estimated US Physical Completion	FS7	6
(7)	Relative Importance Quartile Ranking	FS8	1
(8)	Over-all Project Performance Rating	FS9	1
(9)	Project Schedule Progress	FS10	1
(10)	Project Objective	FS11	1
(11)	Lessons to be learned Y/N	IB	1
(12)	Publicity Aspects Y/N	IC	1
(13)	Contract Technicians on project Y/N	IIA	1
(14)	Contract Number	IIA1	10
(15)	Contractor Name	IIA2	15
(16)	Type of Contractor	IIA3	1
(17)	Number of contractor technicians scheduled	IIA4	3
(18)	Number of contractor technicians on board	IIA4	3
(19)	Number of contractor technicians unsatisfactory	IIA5a	3
(20)	Number of contractor technicians marginal	IIA5b	3
(21)	Number of contractor technicians adequate	IIA5c	3
(22)	Number of contractor technicians good	IIA5d	3
(23)	Number of contractor technicians outstanding	IIA5e	3
(24)	Participating Agency technicians on project Y/N	IIB	1
(25)	PASA No.	IIB1	6
(26)	Participating Agency Name	IIB2	15
(27)	Number of PASA technicians scheduled	IIB3	3
(28)	Number of PASA technicians on board	IIB3	3
(29)	Number of PASA technicians unsatisfactory	IIB4a	3
(30)	Number of PASA technicians marginal	IIB4b	3
(31)	Number of PASA technicians adequate	IIB4c	3
(32)	Number of PASA technicians good	IIB4d	3
(33)	Number of PASA technicians outstanding	IIB4e	3
(34)	Direct hire technicians on project Y/N	IIC	1
(35)	Number of direct hire technicians scheduled	IIC2	2

DATA ELEMENT		Actual Year	Number of Characters
D. 5 Project Evaluation Data (Cont'd)		TAPER Face Sheet Item No.	
(36)	Number of direct hire technicians on board	IIC2	2
(37)	Number of direct hire technicians unsatisfactory	IIC3a	2
(38)	Number of direct hire technicians marginal	IIC3b	2
(39)	Number of direct hire technicians adequate	IIC3c	2
(40)	Number of direct hire technicians good	IIC3d	2
(41)	Number of direct hire technicians outstanding	IIC3e	2
(42)	Technician problems: Inadequate technical knowledge Y/N	IID1	1
(43)	Inadequate knowledge of country and culture	IID2	1
(44)	Language barrier or translator difficulties	IID3	1
(45)	Health problems resulting in evacuation or excessive absenteeism	IID4	1
(46)	Family problems	IID5	1
(47)	Negative attitude toward project	IID6	1
(48)	Poor personal relations among U. S. technicians	IID7	1
(49)	Poor personal relations with counterpart technicians	IID8	1
(50)	Poor personal relations with local citizenry	IID9	1
(51)	Inadequate communication between project technicians and USAID headquarters	IID10	1
(52)	Required reports have not been submitted by project technicians to USAID headquarters on schedule	IID11	1
(53)	Other (Specify in Narrative Section)	IID12	1
(54)	Participant Trainees in project Y/N	III	1
(55)	Number of participants have received training and returned to country	IIIA1	3
(56)	Number of participants are being trained	IIIA2	3
(57)	Number of participants are being processed for training	IIIA3	3
(58)	Number of participants have yet to be nominated	IIIA4	3
(59)	Number of participants will have been trained when project terminates	IIIA5	3
(60)	Returned Participants on project Y/N	IIIB	1
(61)	Number of man months participants trained in US	IIIB1a	3
(62)	Number of man months participants trained in 3rd country	IIIB1b	3

DATA ELEMENT		Actual Year	Number of Characters
D. 5 Project Evaluation Data (Cont'd)		TAPER Face Sheet Item No.	
(63)	Number of returned participants unsatisfactory	IIIB2a	3
(64)	Number of returned participants marginal	IIIB2b	3
(65)	Number of returned participants adequate	IIIB2c	3
(66)	Number of returned participants good	IIIB2d	3
(67)	Number of returned participants outstanding	IIIB2e	3
(68)	Number of returned participants have undesirable character traits	IIIB3a	3
(69)	Number of returned participants are hostile to the United States	IIIB3b	3
(70)	Number of returned participants received inadequate training in the US or 3rd country	IIIB3c	3
(71)	Number of returned participants are assigned to positions below their level of competence	IIIB3d	3
(72)	Number of returned participants are assigned to positions above their level of competence	IIIB3e	3
(73)	Number of returned participants are unable to get their ideas accepted by their supervisors	IIIB3f	3
(74)	Number of returned participants are using their training almost as planned	IIIB3g	3
(75)	Number of returned participants are employed in higher rank positions than planned	IIIB3h	3
(76)	Number of returned participants are not being utilized to take good advantages of training	IIIB3i	3
(77)	Number of returned participants have been lost to the project but are using their training	IIIB3j	3
(78)	Number of returned participants are no longer in contact with the USAID	IIIB3k	3
(79)	Commodities used in project Y/N	IV	1
(80)	Quality of commodities	IVA	1
(81)	Use of commodities	IVB	1
(82)	Commodity problems: Unsuited to climate/ environmental conditions	IVC1	1
(83)	Commodity problems: Unnecessarily sophisticated for use by country nationals	IVC2	1
(84)	Commodity problems: Lack of satisfactory maintenance facilities and sufficient spare parts	IVC3	1
(85)	Commodity problems: Lack of adequate storage facilities	IVC4	1

	DATA ELEMENT	Actual Year	Number of Characters
D. 5	Project Evaluation Data (Cont'd)	TAPER Face Sheet Item No.	
(86)	Commodity problems: Severely damaged in shipment	IVC5	1
(87)	Commodity problems: Significant portion lost or stolen	IVC6	1
(88)	Commodity problems: Late delivery of commodities to port of entry	IVC7	1
(89)	Commodity problems: Difficulty or serious delays in transporting commodities from port of entry to project site(s)	IVC8	1
(90)	Commodity problems: Commodities have arrived but are not being used	IVC9	1
(91)	Commodity problems: Commodities received did not meet PIO specifications	IVC10	1
(92)	Commodity problems: Related facilities not ready to receive commodities	IVC11	1
(93)	Commodity problems: Other	IVC12	1
(94)	First PIO/C Indent #	IVD1a	10
(95)	First PIO/C $ Value of commodities ordered	IVD2a	3
(96)	First PIO/C $ Value of commodities received	IVD3a	3
(97)	Second PIO/C Indent #	IVD1b	10
(98)	Second PIO/C $ Value of commodities ordered	IVD2b	3
(99)	Second PIO/C $ Value of commodities received	IVD3b	3
(100)	Third PIO/C Indent #	IVD1c	10
(101)	Third PIO/C $ Value of commodities ordered	IVD2c	3
(102)	Third PIO/C $ Value of commodities received	IVD3c	3
(103)	Delinquent delivery over 120 days Y/N	IVE	1
(104)	Delinquent procurer: USAID	IVE1	1
(105)	Delinquent procurer: GSA	IVE2	1
(106)	Delinquent procurer: Other	IVE3	1
(107)	U.S. Govt. Excess property used in project Y/N	IVF	1
(108)	Acquisition cost	IVF1	3
(109)	Satisfactory quality Y/N	IVF2	1
(110)	Cooperating Country participation	VA	1
(111)	Cooperating Country problems: Disagreement between local government ministries	VB1	1
(112)	Cooperating Country problems: Disagreement between local government officials within a single ministry	VB2	1

DATA ELEMENT	Actual Year	Number of Characters
D. 5 Project Evaluation Data (Cont'd)	TAPER Face Sheet Item No.	
(113) Cooperating Country problems: Change in local executive leadership	VB3	1
(114) Cooperating Country problems: Sufficient funds have not been provided	VB4	1
(115) Cooperating Country problems: Necessary enabling legislation is not being developed/passed	VB5	1
(116) Cooperating Country problems: Has not established or staffed an organization as agreed	VB6	1
(117) Cooperating Country problems: Excessive red tape and bureaucratic delays	VB7	1
(118) Cooperating Country problems: Qualified counterpart technicians have not been assigned on time	VB8	1
(119) Cooperating Country problems: Qualified participant trainees have not been nominated on time	VB9	1
(120) Cooperating Country problems: Maintenance of facilities and equipment is sub-standard	VB10	1
(121) Cooperating Country problems: Local political differences	VB11	1
(122) Cooperating Country problems: Tribal, class, or caste conflicts	VB12	1
(123) Cooperating Country problems: Cultural resistances to changes	VB13	1
(124) Cooperating Country problems: Other	VB14	1
(125) Government attitude toward project	VC	1
(126) Citizens' attitude toward project	VD	1
(127) Government take-over and continuation plans	VE	1
(128) Number of counterpart technicians	VF	3
(129) Number of counterpart technicians unsatisfactory	VF1	3
(130) Number of counterpart technicians marginal	VF2	3
(131) Number of counterpart technicians adequate	VF3	3
(132) Number of counterpart technicians good	VF4	3
(133) Number of counterpart technicians outstanding	VF5	3
(134) Counterpart technician problems: inadequate technical education	VG1	1
(135) Counterpart technician problems: inadequate technical experience	VG2	1

DATA ELEMENT		Actual Year	Number of Characters
D. 5 Project Evaluation Data (Cont'd)		TAPER Face Sheet Item No.	
(136)	Counterpart technician problems: inadequate leadership and supervision skills	VG3	1
(137)	Counterpart technician problems: working only part-time, whereas full-time is required.	VG4	1
(138)	Counterpart technician problems: technicians have been assigned and then transferred	VG5	1
(139)	Counterpart technician problems: Unwillingness to work or travel in rural or provincial areas	VG6	1
(140)	Counterpart technician problems: Pay and allowances are too low	VG7	1
(141)	Counterpart technician problems: Maturity and age	VG8	1
(142)	Counterpart technician problems: Motivation	VG9	1
(143)	Counterpart technician problems: Morale	VG10	1
(144)	Counterpart technician problems: Other	VG11	1
(145)	Coop country cash contribution to project - life of project	VH1a	3
(146)	Coop country in-kind contribution to project - life of project	VH1b	3
(147)	Coop country cash contribution to project - prior years	VH2a	3
(148)	Coop country in-kind contribution to project - prior years	VH2b	3
(149)	Coop country cash contribution to project - current year	VH3a	3
(150)	Coop country in-kind contribution to project - current year	VH3b	3
(151)	Disbursements accord with ProAg Y/N	V I	3
(152)	Rating of AID/W backstopping	VIA	1
(153)	AID/W Backstopping Deficiencies: Technician	VIB1	1
(154)	AID/W Backstopping Deficiencies: Contract	VIB2	1
(155)	AID/W Backstopping Deficiencies: PASA	VIB3	1
(156)	AID/W Backstopping Deficiencies: Participant	VIB4	1
(157)	AID/W Backstopping Deficiencies: Commodities	VIB5	1
(158)	AID/W Backstopping Deficiencies: Approvals	VIB6	1
(159)	AID/W Backstopping Deficiencies: Other	VIB7	1
(160)	Any AID/W Actions pending Y/N	VIC	1
(161)	Other problems Y/N	VIIA	1

DATA ELEMENT		Actual Year	Number of Characters
D. 5 Project Evaluation Data (Cont'd)		TAPER Face Sheet Item No.	
(162)	Technical Aids Y/N	VIIB	1
(163)	Research needs	VIIC	1
(164)	Other technicians	VIID1	1
(165)	Name of organization or country	VIID2	15
(166)	Other technicians' problems	VIID3	1
(167)	Number of project set visits by Project Coordinator	VIIE1	3
(168)	Number of project set visits by other USAID Personnel	VIIE.2	3
(169)	Number of project set visits by AID/W personnel	VIIE3	3
(170)	Number of project set visits by other U. S. personnel	VIIE4	3
(171)	Change scope of project Y/N	VIIF	1
(172)	Discontinue project Y/N	VIIG	1

APPENDIX E

ACTIVE PROJECT HISTORY DATA

APPENDIX E

ACTIVE PROJECT HISTORY DATA

Data Element			Number of Characters
E.1	Project Identification		
	(1)	Project Name	12
	(2)	Project Number	14
	*(3)	Approved Start Date	8
	*(4)	Completion Data	8
E.2	Financial Data		
E.2.1	AID Dollar Cost Obligated		
	*(1)	Direct Hire Personnel	5
	*(2)	Appropriation Source for Direct Hire	2
	*(3)	PASA Personnel	5
	*(4)	Appropriation Source for PASA	2
	*(5)	Contract Personnel	2
	*(6)	Appropriation Source for Contract	2
	*(7)	U.S. Agency Participants	2
	*(8)	Appropriation Source for U.S. Agency Participant	2
	*(9)	Contract Participants	2
	*(10)	Appropriation Source for Contract Participants	2
	*(11)	U.S. Agency Commodities	2
	*(12)	Appropriation Source for U.S. Agency Commodities	2
	*(13)	Contract Commodities	2
	*(14)	Appropriation Source for Contract Commodities	2
	*(15)	U.S. Agency Other Costs	2
	*(16)	Appropriation Source for U.S. Agency Other Costs	2
	*(17)	Contracts Other Costs	2
	*(18)	Appropriation Source for Contract Other Costs	2
E.2.2	Cooperating Country Costs (Dollar Equivalent) Commitment		
	*(1)	Cash	5
	*(2)	In Kind (Estimated Value)	5
E.3	Project Data Summary		
E.3.1	Personnel U.S.		
	*(1)	Number of Man Years Direct	4
	*(2)	Number of Man Years PASA	4
	*(3)	Number of Man Years Contract	4
	*(4)	Number on Board End FY Direct	4
	*(5)	Number on Board End FY PASA	4
	*(6)	Number on Board End FY Contract	4

*Indicates the Data Element which if changed creates entries in Project History Data

Data Element		Number of Characters
E.3.1	Personnel Non-U.S.	
	Same as Personnel U.S. except Reference Row labeled Non-U.S.	
E.4	Work Schedule	
E.4.1	Work Schedule - Participants	
*(1)	Planned Call Fwd Date	8
(2)	Actual Call Fwd Date	6
*(3)	Number of Participants Scheduled for Call Fwd	4
(4)	Number of Participants Actually Called Fwd	2
(5)	Description of Participants' Training	12
(6)	Exception Ref for Call Fwd	3
(7)	P10/P Number and Name of University	12
*(8)	Planned Participant Depart. Date	8
(9)	Actual Participant Depart. Date	6
*(10)	Number of Participants Sched. for Departure	4
(11)	Number of Participants Actually Departed	2
(12)	Description of Participants Departing	12
(13)	Exception Ref. for Depart.	3
*(14)	Planned Return Date	8
(15)	Actual Return Date	6
*(16)	Number of Participants Sched. for Return	4
(17)	Number of Participants Actually Returned	2
(18)	Description of Participants Returning	12
(19)	Exception Ref. for Return	3
E.4.2	Work Schedule - Commodities	
*(1)	Scheduled Order Date	8
(2)	Actual Order Date	6
*(3)	Requested Number of Items (Sequential)	4
(4)	Ordered Number of Items (Sequential)	2
(5)	Commodity Code	1
(6)	Exception Ref. for Order Placed	3
(7)	P10/C Number and Source or Procurement	12
*	[illegible]	
	[illegible]	
*	[illegible]	
	[illegible]	
	[illegible]	
(.)	[illegible]	

*Indicates the Data Element which if changed creates entries in Project History Data.

Data Element			Number of Characters
E.4.3	Work Schedule - Technicians Contract		
	*(1)	Expected Date for Contractor to be Nominated	8
	(2)	Actual Date Contractor Nominated	6
	*(3)	Expected Number of Technicians Nominated	4
	(4)	Actual Number of Technicians Nominated	2
	(5)	Description of Technicians	12
	(6)	Exception Ref. for Nomination	3
	(7)	P10/T Number, Name of Contractor and Means of Procurement	12
	*(8)	Expected Date Contractor to be Accepted	8
	(9)	Actual Date Contractor Accepted	6
	*(10)	Expected Number of Technicians Accepted	4
	(11)	Actual Number of Technicians Accepted	2
	(12)	Position Descriptions Accepted	12
	(13)	Exception Ref. for Accepted	3
	*(14)	Expected Date Contract to be Awarded	8
	(15)	Actual Date Contract Awarded	6
	*(16)	Number of Technicians Anticipated by Contract	4
	(17)	Number of Technicians Received by Contract	2
	(18)	Position Description of Contract	12
	(19)	Exception Ref. Contract	3
	*(20)	Estimated Date of Technician Arrival	8
	(21)	Actual Date of Technician Arrival	6
	*(22)	Number of Technicians Expected to Arrive	4
	(23)	Number of Technicians Actually Arrived	2
	(24)	Exception Ref. Arrival	3
	*(25)	Estimated Date of Technician Departure	8
	(26)	Actual Date of Technician Departure	6
	*(27)	Anticipated Number of Technicians Departing	4
	(28)	Actual Number of Technicians Departing	2
	(29)	Exception Ref. Departure	3
E.4.4	Work Schedule - Technicians Direct Hire		
	*(1)	Planned Nomination Sending Date	8
	(2)	Actual Nomination Sending Date	6
	*(3)	Planned Number of Direct Hires Nominated	4
	(4)	Actual Number of Direct Hires Nominated	2
	(5)	Description of Position	12
	(6)	Exception Ref. for Direct Hire	3
	(7)	P10/T Number and Name of AID Employee	12
	*(8)	Anticipated Nomination Accepted Date	8
	(9)	Actual Nomination Accepted Date	6

*Indicates the Data Element which if changed creates entries in Project History Data.

Data Element			Number of Characters
E.4.4	Work Schedule - Technicians Direct Hire (Cont'd)		
*(10)		Number of Nominations Expected to be Accepted	4
(11)		Number of Nominations Actually Accepted	2
(12)		Exception Ref. for Nominations Accepted	3
*(13)		Expected Arrival Date	8
(14)		Actual Arrival Date	6
*(15)		Number of Technicians Anticipated for Arrival	4
(16)		Number of Technicians Actually Arrived	2
(17)		Exception Ref. for Technician Arrival	3
*(18)		Expected Departure Date	8
(19)		Actual Departure Date	6
*(20)		Number of Technicians Scheduled to Depart	4
(21)		Number of Technicians Actually Departed	2
(22)		Excepted Ref. for Technician Departure	3
E.4.5	Work Schedule - Technicians Participating Agencies		
*(1)		Expected Date Nominations Sent	8
(2)		Actual Date Nominations Sent	6
*(3)		Number of Technicians Expected to be Nominated	4
(4)		Number of Technicians Actually Nominated	2
(5)		Description of Positions	12
(6)		Exception Ref. for PASA Nominations Sent	3
(7)		P10/T Number and Name of PASA	12
*(8)		Anticipated Nomination Accepted Date	8
(9)		Actual Nomination Accepted Date	6
*(10)		Number of Nominations Expected to be Accepted	4
(11)		Number of Nominations Actually Accepted	2
(12)		Exception Ref. for Nominations Accepted	3
*(13)		Expected Arrival Date	8
(14)		Actual Arrival Date	6
*(15)		Number of Technicians	4
(16)		Number of Technicians Actually Arrived	2
(17)		Exception Ref. for Technician Arrival	3
*(18)		Expected Departure Date	8
(19)		Actual Departure Date	6
*(20)		Number of Technicians Scheduled to Depart	4
(21)		Number of Technicians Actually Departed	2
(22)		Exception Ref. for Technicians Departure	3

*Indicates the Data Element which if changed creates entries in Project History Data.

APPENDIX F

COMPLETED PROJECT DATA

APPENDIX F (Cont'd)

COMPLETED PROJECT DATA

APPENDIX F

COMPLETED PROJECT DATA

DATA ELEMENT	DATA SOURCE			Number of Characters
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	
Data Base	Active Project History Data		Active Project Data	
F.1 Project Identification				
(1) Project Title				12
(2) Project Number				14
(3) Approved Start Date				6
(4) Completion Date				6
(5) Prior References				14
(6) Security Classification				1
(7) Appropriation Symbol				1
(8) Allotment Symbol & Charge				1
F.2 Financial Data				
F.2.1 Aid Dollar Cost (Gross Obligation)*				
(1) Direct Hire Personnel				8
Appropriation Source				3
Loan or Grant				1
(2) PASA Personnel				8
Appropriation Source				3
Loan or Grant				1

*Net obligations for the actual year are found by project component in Row IA of the E1a table.

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.2.1 Aid Dollar Cost (Gross Obligation)(Cont'd)				
(3) Contract Personnel				8
Appropriation Source				3
Loan or Grant				1
(4) U.S. Agency Participants				8
Appropriation Source				3
Loan or Grant				1
(5) Contract Participants				8
Appropriation Source				3
Loan or Grant				1
(6) U.S. Agency Commodities				8
Appropriation Source				3
Loan or Grant				1
(7) Contract Commodities				8
Appropriation Source				3
Loan or Grant				1
(8) U.S. Agency Other Costs				8
Appropriation Source				3
Loan or Grant				1
(9) Contract Other Costs				8
Appropriation Source				3
Loan or Grant				1

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.2.1 Aid Dollar Cost (Expended)				
(1) Direct Hire Personnel				8
Appropriation Source				3
Loan or Grant				1
(2) PASA Personnel				8
Appropriation Source				3
Loan or Grant				1
(3) Contract Personnel				8
Appropriation Source				3
Loan or Grant				1
(4) U.S. Agency Participant				8
Appropriation Source				3
Loan or Grant				1
(5) Contract Participants				8
Appropriation Source				3
Loan or Grant				1
(6) U.S. Agency Commodities				8
Appropriation Source				3
Loan or Grant				1
(7) Contract Commodities				8
Appropriation Source				3
Loan or Grant				1

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.2.1 Aid Dollar Cost (Expended) (Cont'd)				
(8) U.S. Agency Other Costs				8
Appropriation Source				3
Loan or Grant				1
(9) Contract Other Costs				8
Appropriation Source				3
Loan or Grant				1
F.2.2 Local Cost (Obligated)				
(1) Trust Fund Facilities & Equip.	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(2) Trust Fund Operation Support (Other)	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(3) PL480 Facilities & Equip.	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(4) PL480 Operation Support (Other)	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(5) Other L.C. Facilities & Equip.	N/A			3
Source	N/A			1
Loan or Grant	N/A			1

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.2.2 Local Cost (Obligated) (Cont'd)				
(6) Other L.C. Operation				
Support (Other)	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
F.2.2 Local Cost (Disbursed)				
(1) Local Costs Chgd. to $ Accts.				
Facilities and Equipment	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(2) L.C. Chgd. to $ Accts.				
Operational Support				
U. S. Personnel	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(3) L.C. Chgd. to $ Acct.				
Operational Support				
Non-U.S. Personnel	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(4) L.C. Chgd. to $ Acct.				
Operational Support Other	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(5) Trust Fund Facilities & Equip.	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(6) Trust Fund-Operation Support				
U. S. Personnel	N/A			3
Source	N/A			1
Loan or Grant	N/A			1

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.2.2 Local Cost (Disbursed)(Cont'd)				
(7) Trust Fund - Operation Support	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(8) Trust Fund-Operation Support (Other Costs)	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(9) P. L. 480 Facilities & Equip.	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(10) P. L. 480 Oper. Support U.S. Personnel	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(11) P. L. 480 Oper. Support for Non-U.S. Personnel	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(12) P. L. 480 Operation Support (Other Costs)	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(13) Other - Facilities & Equip.	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(14) Other - Operation Support U.S. Personnel	N/A			3
Source	N/A			1
Loan or Grant	N/A			1

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.2.2 Local Cost (Disbursed) (Cont'd)				
(15) Other - Operation Support				
Non-U.S. Personnel	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
(16) Other - Operation Support				
(Other Costs)	N/A			3
Source	N/A			1
Loan or Grant	N/A			1
F.2.2 Local Cost (Obligated)				
(1) Project Component				
Participant	N/A			3
Source	N/A			1
(2) Project Component				
U. S. Technicians	N/A			3
Source	N/A			1
(3) Project Component - Misc.	N/A			3
Source	N/A			1
(4) Project Component Contract				
Services	N/A			3
Source	N/A			1
(5) Project Component				
Commodities	N/A			3
( ) Source	N/A			1
(6) Project Component				
Other	N/A			3
Source	N/A			1

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.2.2 Local Cost (Expended)				
(1) Project Component				
Participant	N/A			3
Source	N/A			1
(2) Project Component				
U.S. Technicians	N/A			3
Source	N/A			1
(3) Project Component - Misc.	N/A			3
Source	N/A			1
(4) Project Component				
Contract Services	N/A			3
Source	N/A			1
(5) Project Component				
Commodities	N/A			3
Source	N/A			1
(6) Project Component				
Other	N/A			3
Source	N/A			1
F.2.3 Cooperating Country Cost (Dollar Equivalents) Committed				
(1) Cash				8
(2) In Kind (Estimated Value)				8
F.2.3 Cooperating Country Cost (Dollar Equivalents) Disbursed				
(1) Cash				8
(2) In Kind (Estimated Value)				8

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.3 Project Data Summary				
F.3.1 Personnel U.S.				
(1) Number of Man Years Direct				6
(2) Number of Man Years PASA				6
(3) Number of Man Years Contract				6
(4) Number on Board End FY Direct				6
(5) Number on Board End FY PASA				6
(6) Number on Board End FY Contract				6
F.3.1 Personnel Non-U.S.				
Same as Personnel U.S. except Reference Row labeled Non-U.S.				
F.3.2 Participants				
(1) Number Trained in U.S.				4
(2) Number Trained in Third Country				4
F.4 Project Work Schedule				
F.4.1 Participants				
(1) Submittal Date of PIO/P				16
Number of Participants				8
Description of Participants' Training				24
Recipient of Exception Notice				6
PIO/P Number				24

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.4.1 Participants (Cont'd)				
(2) Call Forward Date				16
Number of Participants				8
Description of Participants' Training				24
Recipient of Exception Notice				6
PIO/P Number				24
(3) Arrival in U.S. Date				16
Number of Participants				8
Descriptions of Participants' Training				24
Recipient of Exception Notice				6
PIO/P Number				24
(4) Depart for Mission Date				16
Number of Participants				8
Description of Participants' Training				24
Recipient of Exception Notice				6
PIO/P Number				24
F.4.2 Technicians - Direct Hire				
(1) Submittal Date of SPAR				16
Description of Technician				24
Recipient of Exception Notice				6
SPAR Number & Name of AID Employee When Available				24
(2) Nomination Sent to Mission Date				16
Description of Technician				24
Recipient of Exception Notice				6
SPAR Number & Name of AID Employee When Available				24

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.4.2 Technicians - Direct Hire (Cont'd)				
(3) Nomination Accepted by Mission Date				16
Description of Technician				24
Recipient of Exception Notice				6
SPAR Number & Name of AID Employee When Available				24
(4) Technicians Depart for Mission				16
Description of Technician				24
Recipient of Exception Notice				6
SPAR Number & Name of AID Employee When Available				24
F.4.2 Technicians - PASA				
(1) Submittal Date				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Employee When Available				24
(2) Nomination Sent to Mission Date				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Employee When Available				24

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.4.2 Technicians - PASA (Cont'd)				
(3) Nomination Accepted by Mission Date				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Employee When Available				24
(4) Technicians Depart for Mission				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Employee When Available				24
F.4.2 Technicians - Contract				
(1) Submittal Date				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Contractor When Available				24
(2) Nomination Sent to Mission Date				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Contractor When Available				24

DATA ELEMENT	DATA SOURCE			
	Original Estimates Each Year	Number of Changes	Actual Figures Each Year	Number of Characters
Data Base	Active Project History Data		Active Project Data	
F.4.2 Technicians - Contract (Cont'd)				
(3) Nomination Accepted by Mission Date				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Contractor When Available				24
(4) Technicians Depart for Mission				16
Number of Technicians				8
Description of Technician				24
Recipient of Exception Notice				6
PIO/T Number & Name of Contractor When Available				24
F.4.3 Commodities				
(1) Submittal Date of PIO/C				16
Number of Items				8
Total Dollar Amount				24
Recipient of Exception Notice				6
PIO/C Number & Source				24
Contractor's Name				

DATA ELEMENT	DATA SOURCE: Actual Year	Number of Characters
Report Number	TAPER Face Sheet Item No.	
F.5 Project Evaluation Data		
(1) Date of TAPER	FS2	6
(2) Project Title	FS3	12
(3) Project Number	FS4	14
(4) Date Original ProAg signed	FS5	6
(5) Date of Estimated U.S. Financial Completion	FS6	6
(6) Date of Estimated U.S. Physical Completion	FS7	6
(7) Relative Importance Quartile Ranking	FS8	1
(8) Over-all Project Performance Rating	FS9	1
(9) Project Schedule Progress	FS10	1
(10) Project Objective	FS11	1
(11) Lessons to be learned Y/N	IB	1
(12) Publicity Aspects Y/N	IC	1
(13) Contract Technicians on project Y/N	IIA	1
(14) Contract Number	IIA1	10
(15) Contractor Name	IIA2	15
(16) Type of Contractor	IIA3	1
(17) Number of contractor technicians scheduled	IIA4	3
(18) Number of contractor technicians on board	IIA4	3
(19) Number of contractor technicians unsatisfactory	IIA5a	3
(20) Number of contractor technicians marginal	IIA5b	3
(21) Number of contractor technicians adequate	IIA5c	3
(22) Number of contractor technicians good	IIA5d	3
(23) Number of contractor technicians outstanding	IIA5e	3
(24) Participating Agency technicians on project Y/N	IIB	1
(25) PASA No.	IIB1	6
(26) Participating Agency Name	IIB2	15
(27) Number of PASA technicians scheduled	IIB3	3
(28) Number of PASA technicians on board	IIB3	3
(29) Number of PASA technicians unsatisfactory	IIB4a	3
(30) Number of PASA technicians marginal	IIB4b	3
(31) Number of PASA technicians adequate	IIB4c	3
(32) Number of PASA technicians good	IIB4d	3
(33) Number of PASA technicians outstanding	IIB4e	3
(34) Direct Hire technicians on Project Y/N	IIC	1
(35) Number of Direct Hire technicians scheduled	IIC2	2
(36) Number of Direct Hire technicians on board	IIC2	2
(37) Number of Direct Hire technicians unsatisfactory	IIC3a	2
(38) Number of Direct Hire technicians marginal	IIC3b	2

DATA ELEMENT		DATA SOURCE Actual Year	Number of Characters
F.5	Project Evaluation Data (Cont'd)		
(39)	Number of Direct Hire technicians adequate	IIC3c	2
(40)	Number of direct hire technicians good	IIC3d	2
(41)	Number of Direct Hire technicians outstanding	IIC3e	2
(42)	Technician problems: Inadequate technical knowledge Y/N	IID1	1
(43)	Inadequate knowledge of country and culture	IID2	1
(44)	Language barrier or translator difficulties	IID3	1
(45)	Health problems resulting in evacuation or excessive absenteeism	IID4	1
(46)	Family problems	IID5	1
(47)	Negative attitude toward project	IID6	1
(48)	Poor personal relations among U.S. technicians	IID7	1
(49)	Poor personal relations with counterpart technicians	IID8	1
(50)	Poor personal relations with local citizenry	IID9	1
(51)	Inadequate communication between project technicians and USAID headquarters	IID10	1
(52)	Required reports have not been submitted by project technicians to USAID headquarters on schedule	IID11	1
(53)	Other (Specify in Narrative Section)	IID12	1
(54)	Participant Trainees in Project Y/N	III	1
(55)	Number of participants have received training and returned to country	IIIA1	3
(56)	Number of participants are being trained	IIIA2	3
(57)	Number of participants are being processed for training	IIIA3	3
(58)	Number of participants have yet to be nominated	IIIA4	3
(59)	Number of participants will have been trained when project terminates	IIIA5	3
(60)	Returned Participants on Project Y/N	IIIB	1
(61)	Number of man months participants trained in U.S.	IIIB1a	3
(62)	Number of man months participants trained in 3rd country	IIIB1b	3
(63)	Number of returned participants unsatisfactory	IIIB2a	3
(64)	Number of returned participants marginal	IIIB2b	3
(65)	Number of returned participants adequate	IIIB2c	3
(66)	Number of returned participants good	IIIB2d	3
(67)	Number of returned participants outstanding	IIIB2e	3
(68)	Number of returned participants have undesirable character traits	IIIB3a	3
(69)	Number of returned participants are hostile to the United States	IIIB3b	3

DATA ELEMENT	DATA SOURCE Actual Year	Number of Characters
F.5 Project Evaluation Data (Cont'd)	TAPER Face Sheet Item No.	
(70) Number of returned participants received inadequate training in the U.S. or 3rd country	IIIB3c	3
(71) Number of returned participants are assigned to positions below their level of competence	IIIB3d	3
(72) Number of returned participants are assigned to positions above their level of competence	IIIB3e	3
(73) Number of returned participants are unable to get their ideas accepted by their supervisors	IIIB3f	3
(74) Number of returned participants are using their training almost as planned	IIIB3g	3
(75) Number of returned participants are employed in higher rank positions than planned	IIIB3h	3
(76) Number of returned participants are not being utilized to take good advantages of training	IIIB3i	3
(77) Number of returned participants have been lost to the project but are using their training	IIIB3j	3
(78) Number of returned participants are no longer in contact with the USAID	IIIB3k	3
(79) Commodities used in project Y/N	IV	1
(80) Quality of commodities	IVA	1
(81) Use of commodities	IVB	1
(82) Commodity problems: Unsuited to climate/ environmental conditions	IVC1	1
(83) Commodity problems: Unnecessarily sophisticated for use by country nationals	IVC2	1
(84) Commodity problems: Lack of satisfactory maintenance facilities and sufficient spare parts	IVC3	1
(85) Commodity problems: Lack of adequate storage facilities	IVC4	1
(86) Commodity problems: Severely damaged in shipment	IVC5	1
(87) Commodity problems: Significant portion lost or stolen	IVC6	1
(88) Commodity problems: Late delivery of commodities to port of entry	IVC7	1
(89) Commodity problems: Difficulty or serious delays in transporting commodities from port of entry to project site(s)	IVC8	1
(90) Commodity problems: Commodities have arrived but are not being used	IVC9	1

DATA ELEMENT		DATA SOURCE Actual Year	Number of Characters
F.5 Project Evaluation Data (Cont'd)		TAPER Face Sheet Item No.	
(91)	Commodity problems: Commodities received did not meet PIO specifications	IVC10	1
(92)	Commodity problems: Related facilities not ready to receive commodities	IVC11	1
(93)	Commodity problems: Other	IVC12	1
(94)	First PIO/C Indent #	IVD1a	10
(95)	First PIO/C $ Value of commodities ordered	IVD2a	3
(96)	First PIO/C $ Value of commodities received	IVD3a	3
(97)	Second PIO/C Indent #	IVD1b	10
(98)	Second PIO/C $ Value of commodities ordered	IVD2b	3
(99)	Second PIO/C $ Value of commodities received	IVD3b	3
(100)	Third PIO/C Indent #	IVD1c	10
(101)	Third PIO/C $ Value of commodities ordered	IVD2c	3
(102)	Third PIO/C $ Value of commodities received	IVD3c	3
(103)	Delinquent delivery over 120 days Y/N	IVE	1
(104)	Delinquent procurer: USAID	IVE1	1
(105)	Delinquent procurer: GSA	IVE2	1
(106)	Delinquent procurer: Other	IVE3	1
(107)	U.S. Govt. Excess property used in project Y/N	IVF	1
(108)	Acquisition cost	IVF1	3
(109)	Satisfactory quality Y/N	IVF2	1
(110)	Cooperating Country participation	VA	1
(111)	Cooperating Country problems: Disagreement between local government ministries	VB1	1
(112)	Cooperating Country problems: Disagreement between local government officials within a single ministry	VB2	1
(113)	Cooperating Country problems: Change in local executive leadership	VB3	1
(114)	Cooperating Country problems: Sufficient funds have not been provided	VB4	1
(115)	Cooperating Country problems: Necessary enabling legislation is not being developed/ passed	VB5	1
(116)	Cooperating Country problems: Has not established or staffed an organization as agreed	VB6	1
(117)	Cooperating Country problems: Excessive red tape and bureaucratic delays	VB7	1
(118)	Cooperating Country problems: Qualified counterpart technicians have not been assigned on time	VB8	1
(119)	Cooperating Country problems: Qualified participant trainees have not been nominated on time	VB9	1

DATA ELEMENT	DATA SOURCE: Actual Year	Number of Characters
F.5 Project Evaluation Data (Cont'd)	TAPER Face Sheet Item No.	
(120) Cooperating Country problems: Maintenance of facilities and equipment is sub-standard	VB10	1
(121) Cooperating Country problems: Local political differences	VB11	1
(122) Cooperating Country problems: Tribal, class, or caste conflicts	VB12	1
(123) Cooperating Country problems: Cultural resistances to changes	VB13	1
(124) Cooperating Country problems: Other	VB14	1
(125) Government attitude toward project	VC	1
(126) Citizens' attitude toward project	VD	1
(127) Government take-over and continuation plans	VE	1
(128) Number of counterpart technicians	VF	3
(129) Number of counterpart technicians unsatisfactory	VF1	3
(130) Number of counterpart technicians marginal	VF2	3
(131) Number of counterpart technicians adequate	VF3	3
(132) Number of counterpart technicians good	VF4	3
(133) Number of counterpart technicians outstanding	VF5	3
(134) Counterpart technician problems: inadequate technical education	VG1	1
(135) Counterpart technician problems: inadequate technical experience	VG2	1
(136) Counterpart technician problems: inadequate leadership and supervision skills	VG3	1
(137) Counterpart technician problems: working only part-time, whereas full-time is required	VG4	1
(138) Counterpart technician problems: technicians have been assigned and then transferred	VG5	1
(139) Counterpart technician problems: Unwillingness to work or travel in rural or provincial areas	VG6	1
(140) Counterpart technician problems: Pay and allowances are too low	VG7	1
(141) Counterpart technician problems: Maturity and age	VG8	1
(142) Counterpart technician problems: Motivation	VG9	1
(143) Counterpart technician problems: Morale	VG10	1
(144) Counterpart technician problems: Other	VG11	1
(145) Coop country cash contribution to project - life of project	VH1a	3
(146) Coop country in-kind contribution to project - life of project	VH1b	3
(147) Coop country cash contribution to project - prior years	VH2a	3

DATA ELEMENT		DATA SOURCE Actual Year	Number of Characters
F.5 Project Evaluation Data (Cont'd)		TAPER Face Sheet Item No.	
(148)	Coop country in-kind contribution to project - prior years	VH2b	3
(149)	Coop country cash contribution to project - current year	VH3a	3
(150)	Coop country in-kind contribution to project - current year	VH3b	3
(151)	Disbursements accord with ProAg Y/N	VI	3
(152)	Rating of AID/W backstopping	VIA	1
(153)	AID/W Backstopping Deficiencies: Technician	VIB1	1
(154)	AID/W Backstopping Deficiencies: Contract	VIB2	1
(155)	AID/W Backstopping Deficiencies: PASA	VIB3	1
(156)	AID/W Backstopping Deficiencies: Participant	VIB4	1
(157)	AID/W Backstopping Deficiencies: Commodities	VIB5	1
(158)	AID/W Backstopping Deficiencies: Approvals	VIB6	1
(159)	AID/W Backstopping Deficiencies: Other	VIB7	1
(160)	Any AID/W Actions pending Y/N	VIC	1
(161)	Other problems Y/N	VIIA	1
(162)	Technical Aids Y/N	VIIB	1
(163)	Research needs	VIIC	1
(164)	Other technicians	VIID1	1
(165)	Name of organization or country	VIID2	15
(166)	Other technicians' problems	VIID3	1
(167)	Number of project set visits by Project Coordinator	VIIE1	3
(168)	Number of project set visits by other USAID Personnel	VIIE2	3
(169)	Number of project set visits by AID/W personnel	VIIE3	3
(170)	Number of project set visits by other U. S. personnel	VIIE4	3
(171)	Change scope of project Y/N	VIIF	1
(172)	Discontinue project Y/N	VIIG	1

APPENDIX G

TECHNICAL ASSISTANCE PROJECT

EVALUATION REPORT

1. Cooperating Country	TECHNICAL ASSISTANCE PROJECT EVALUATION REPORT	2. Report prepared as of:
3. Project Title		4. Project Number
5. Date Original ProAg Signed:	6. Date of Estimated U.S. Financial Completion:	7. Date of Estimated U.S. Physical Completion:

8. Relative Importance Ranking by Mission Director

In terms of U.S. objectives in this country and the economic, social and political impact, this project falls in the:

◯ 1st Quartile ◯ 2nd Quartile ◯ 3rd Quartile ◯ 4th Quartile

of all active AID dollar supported TA projects in all activity fields in this country. Twenty-five percent (25%) of the total number of projects must be ranked in each quartile.

9. Overall Project Performance Rating by Project Coordinator

In terms of all factors -- U.S. technicians, participants, commodities, cooperating country participation, keeping on schedule, and meeting objectives -- this project is:

◯ unsatisfactory ◯ marginal ◯ adequate ◯ good ◯ outstanding

10. In general, this project is:

a. ◯ Seriously behind schedule
b. ◯ Slightly behind schedule
c. ◯ Generally on schedule
d. ◯ Slightly ahead of schedule
e. ◯ Substantially ahead of schedule

11. This project primarily serves:

a. ◯ Economic development objectives
b. ◯ Other objectives

12. Prepared by Project Coordinator:

Name	Title and Grade	Signature

13. Approved by Mission Director or Designate:

Name	Title and Grade	Signature

I. ACCOMPLISHMENTS

A. List all significant accomplishments during the six months covered by this report using concise narrative statements.

B. Does the project have significant characteristics transferable to other countries? Are there important lessons (positive or negative) to be learned from this project? Has the project employed any unusual techniques, devices, or tools which others may profit from? ◯ Yes ◯ No
If yes, specify in Narrative Section.

C. Do any aspects of the project lend themselves to publicity (newspaper, magazine, TV, or films) in the United States? ◯ Yes ◯ No
If yes, specify in Narrative Section.

II. UNITED STATES TECHNICIANS (◯ inapplicable)

A. Contract Technicians on project? ◯ Yes ◯ No

1. Contract No. _____

2. Name of Contractor _____

3. Type of Contractor (see Instructions): _____

4. How many separate contracts are there in this project? _____

5. Of the _____ contract technicians scheduled to be on board at this time _____ are on board.

6. Of those on board how many are:

a. ____ unsatisfactory

b. ____ marginal

c. ____ adequate

d. ____ good

e. ____ outstanding

B. Participating Agency Technicians on Project? ◯ Yes ◯ No

1. PASA No. _____. 2. Name of Agency _____

3. How many separate PASAs are there in this project? _____

4. Of the _____ Participating Agency Technicians scheduled to be on board at this time _____ are on board.

5. Of those on board how many are:

a. ____ unsatisfactory

b. ____ marginal

c. ____ adequate

d. ____ good

e. ____ outstanding

C. Direct Hire Technicians on Project? ◯ Yes ◯ No

1. Names of Technicians: a. _____; b. _____

c. _____; d. _____; e. _____

2. Of the _____ direct hire technicians scheduled to be on board at this time _____ are on board.

3. Of those on board how many are:

   a. ___ unsatisfactory
   b. ___ marginal
   c. ___ adequate
   d. ___ good
   e. ___ outstanding

D. Check any U.S. Technician Problems of a Serious Nature:

1. ◯ Inadequate technical knowledge
2. ◯ Inadequate knowledge of country and culture
3. ◯ Language barrier or translator difficulties
4. ◯ Health problems resulting in evacuation or excessive absenteeism
5. ◯ Family or emotional problems
6. ◯ Negative attitude toward project
7. ◯ Poor personal relations among U. S. technicians
8. ◯ Poor personal relations with counterpart technicians
9. ◯ Poor personal relations with local citizenry
10. ◯ Inadequate communication between project technicians and USAID headquarters
11. ◯ Lack of occupational adaptability (inability to apply technical knowledge to country situation)
12. ◯ Other (Specify in Narrative Section)

III. PARTICIPANT TRAINEES (◯ inapplicable)

A. In this project:

1. _____ participants have received training and returned to country
2. _____ participants are being trained
3. _____ participants are being processed for training
4. _____ participants have yet to be nominated
5. _____ participants will have been trained when project terminates (Item 5 is the sum of 1 through 4)

B. Returned Participants (◯ inapplicable)

1. The returned participants have received a total of:

   a. _____ man months training in U. S.

   b. _____ man months training in third countries

2. Of the returned participants the performance of how many are:

   a. _____ unsatisfactory

   b. _____ marginal

   c. _____ adequate

   d. _____ good

   e. _____ outstanding

3. Of the returned participants how many:

   a. _____ have undesirable character traits?

   b. _____ are hostile to the United States?

   c. _____ received inadequate training in the U.S. or 3rd country?

   d. _____ are assigned to positions <u>below</u> their level of competence?

   e. _____ are assigned to positions <u>above</u> their level of competence?

   f. _____ are unable to get their ideas accepted by their supervisors?

   g. _____ are using their training almost as planned?

3. (Continued) Of the returned participants how many:

h. _____ are employed in higher rank positions than planned?

i. _____ are not being utilized to take good advantage of training?

j. _____ have been lost to the project but are using their training?

k. _____ are no longer in contact with the USAID?

IV. COMMODITIES (◯ inapplicable)

A. In general, the quality of AID financed off-shore commodities being used in this project is:

◯ unsatisfactory ◯ marginal ◯ adequate ◯ good ◯ outstanding

B. In general, the use being made of AID financed off-shore commodities in this project is:

◯ unsatisfactory ◯ marginal ◯ adequate ◯ good ◯ outstanding

C. Check commodity problems of a serious nature:

1. ◯ Unsuited to climate/environmental conditions
2. ◯ Unnecessarily sophisticated for use by country nationals
3. ◯ Lack of satisfactory maintenance facilities and sufficient spare parts
4. ◯ Lack of adequate storage facilities
5. ◯ Severely damaged in shipment
6. ◯ Significant portion lost or stolen
7. ◯ Late delivery of commodities to port of entry
8. ◯ Difficulty or serious delays in transporting commodities from port of entry to project site(s)
9. ◯ Commodities have arrived but are not being used
10. ◯ Commodities received did not meet PIO specifications
11. ◯ Related facilities not ready to receive commodities
12. ◯ Other (Specify in Narrative Section)

D. List the PIO/Cs issued for this Project and the dollar value of commodities ordered and received.

1. PIO/C Number	2. $ Value Ordered	3. $ Value Received
a. _____	a. _____	a. _____
b. _____	b. _____	b. _____
c. _____	c. _____	c. _____

E. Check the PIO/C authorized procurement channel responsible for any deliveries delinquent for over 120 days. (○ inapplicable)

1. ○ USAID
2. ○ General Services Administration
3. ○ Other, Specify _____

F. U.S. Government Excess Property used in Project? ○ Yes ○ No

1. Original acquisition cost of such property used in this project:

$ _____

2. Has the quality of the equipment satisfied the needs of the project?

○ Yes ○ No

If no, specify in Narrative Section

V. COOPERATING COUNTRY

A. In general, the country government's participation in this project is:

○ unsatisfactory

○ marginal

○ adequate

○ good

○ outstanding

B. Check Country Problems of a Serious Nature:

1. ◯ Disagreement between local government ministries
2. ◯ Disagreement between local government officials within a single ministry
3. ◯ Change in local executive leadership
4. ◯ Sufficient funds have not been provided
5. ◯ Necessary enabling legislation is not being developed/passed
6. ◯ Has not established or staffed an organization as agreed
7. ◯ Excessive red tape and bureaucratic delays
8. ◯ Qualified counterpart technicians have not been assigned on time
9. ◯ Qualified participant trainees have not been nominated on time
10. ◯ Maintenance of facilities and equipment is sub-standard
11. ◯ Local political differences
12. ◯ Tribal, class, or caste conflicts
13. ◯ Cultural resistances to changes
14. ◯ Other (Specify in Narrative Section)

C. USAID estimate of government's real attitude toward project:

◯ negative ◯ mixed ◯ adequate ◯ good ◯ enthusiastic

D. USAID estimate of real attitude of citizens being reached toward project:

◯ negative ◯ mixed ◯ adequate ◯ good ◯ enthusiastic

E. Government's Take-Over and Continuation Plans:

◯ No such plans ◯ Uncertain ◯ Intends to take over

◯ Anxious to take over

F. Of the _____ counterpart technicians working on this project how many are:

1. _____ unsatisfactory
2. _____ marginal
3. _____ adequate
4. _____ good
5. _____ outstanding

G. Check counterpart technician problems of a serious nature:

1. ○ Inadequate technical education
2. ○ Inadequate technical experience
3. ○ Inadequate leadership and supervision skills
4. ○ Working only part-time, whereas full-time is required
5. ○ Technicians have been assigned and then transferred
6. ○ Unwillingness to work or travel in rural or provincial areas
7. ○ Pay and allowances are too low
8. ○ Maturity and age
9. ○ Motivation
10. ○ Morale
11. ○ Other (Specify in Narrative Section)

H. Total Cooperating Country Financial Contribution Directly to Project

1. Total Committed Life of Project	2. Disbursed Prior Years	3. Committed for Current Fiscal Year ending _____
a. Cash $_____	a. $_____	a. $_____
b. In Kind $_____	b. $_____	b. $_____
c. Total $_____	c. $_____	c. $_____

I. Are the present cooperating country disbursements sufficiently in accordance with ProAg?

○ Yes ○ No If no, use Narrative Section

VI. AID/W PROJECT SUPPORT

A. In general, the timeliness and quality of AID/W backstopping for this project is:

○ unsatisfactory ○ marginal ○ adequate ○ good ○ outstanding

B. Check AID/W Backstopping Deficiencies:

1. ○ Direct Hire U. S. Technicians have not been nominated on schedule

2. ○ Contract negotiations have been behind schedule

3. ○ PASA Negotiations have been behind schedule

4. ○ Participant call forward dates have not been received on schedule

5. ○ Commodities have not arrived on schedule

6. ○ Approvals, guidance and information required have been significantly delayed.

7. ○ Other (Specify in Narrative Section)

C. Are there any AID/W actions currently pending which are impeding project progress?

○ Yes ○ No

If yes, specify in Narrative Section

VII. GENERAL (If answer is Yes to any of the following, describe in Narrative Section)

A. Are there any significant problems or causes of delay in this project not brought out above?

○ Yes ○ No

B. Has this project revealed the need for technical aids, e.g., pamphlets, commodities, etc., which are not currently available? ○ Yes ○ No

C. Has this project revealed any needs for research efforts by AID/W?

○ Yes ○ No

D. 1. Does the project involve participation of technicians of organizations or countries other than the U. S. government and the host country government? ○ Yes ○ No

2. If yes, identify the multinational agency, foreign country, or other _____.

3. If yes, are there any significant personal, logistic, or technical problems resulting from this arrangement? ○ Yes ○ No

E. In the past six months how many times was the project site(s) visited by:

1. _____ Project Coordinator

2. _____ Other USAID Personnel

3. _____ AID/W Personnel

4. _____ Other U.S.

F. Should consideration be given to changing scope or direction of project?

○ Yes ○ No

G. Should consideration be given to discontinuing U.S. financial participation in this project?

○ Yes ○ No If yes, when? _____

VIII. NARRATIVE SECTION

Organize this section to correspond with the order of the structured portion of the TAPER. Use the appropriate section and item numbers to identify the narrative statement.

INSTRUCTIONS FOR COMPLETING THE TECHNICAL ASSISTANCE PROJECT EVALUATION REPORT

Face Sheet

1. Cooperating Country: Enter the name of the country for country projects; enter the name of region for regional projects; enter the word "world-wide" for projects backstopped by AID/W staff offices.

2. Report Prepared as of: The report is to be prepared semi-annually. Enter the date Aug 1 (year) or Feb 1 (year) depending on which six-month period is covered.

3. Project Title: Enter the complete project title as it appears in the Project Agreement (ProAg). For purposes of the TAPER and the related project control and evaluation system a project is defined as any activity or closely interrelated group of activities: (a) which is designed to accomplish a specific and limited objective; (b) which has been or will be mutually developed and agreed upon by AID and the cooperating country; (c) which requires AID-financing of goods and/or services specifically needed for its accomplishment; (d) the sequence of actions and requirements of which can be projected in reasonable detail at one time; and (e) implementation of which can be initiated within the prescribed time period established by AID for such projects. (See AID Manual Order 793.1)

4. Project Number: Enter the project number as determined from the activity description (see AID Manual Order 1053.4) and used in the ProAg.

5. Date Original ProAg Signed: Enter the date on which the original Project Agreement was consummated.

6. Date of Estimated U. S. Financial Completion. Enter the estimated date on which the last charge against the U. S. funds obligated for this project will be paid or deobligated.

7. Date of Estimated U. S. Physical Completion: Enter the estimated date when the last component of U. S. participation will be complete, i.e., whichever comes last - the last participant trainee returns, the last U. S. technician leaves or the last U. S. financed commodity arrives. The date will be different from Item #6.

8. Relative Importance Ranking of Project: This item is to be completed by the Mission Director or his deputy. Rank each project into one of the four quartiles. Twenty-five percent of the total number of projects must be ranked in each quartile. If the total number is not divisible by four (4) then the number of projects in each quartile must come as near to 25% as possible.

   To arrive at this relative importance or value of individual projects in relation to other projects the mission director should evaluate the degree to which the project contributes to the achievement of U.S. objectives in the country and the project's economic, social, and political impact. Do not consider project performance.

9. Overall Project Performance Rating: This item is to be completed by the project manager. Rate each project's performance without reference to other projects. Do not consider project importance or ranking. This should be a composite rating taking into consideration the ratings and relative importance of each project element, i.e., U. S. technicians, participants, commodities, cooperating country participation timeliness accomplishments. This item should be completed after the entire TAPER has been completed.

10. Schedule: Evaluate the actual progress against the latest project work schedule and check the item which best describes the over-all status of the project.

11. Objectives: Any project will usually serve several objectives. In this item indicate whether the project primarily serves the country's economic and social development objectives or other U.S. objectives such as political, diplomatic, strategic, military, and commercial not primarily related to country development.

12. Prepared By: The TAPER is prepared by the Project Coordinator except for Item #8. Enter his name, title and grade. He signs the final version for submission to AID/W.

13. Approved By: The TAPER is approved by the Mission Director and should reflect the Mission Director's official position on the project. The Mission Director may designate his deputy or alternate to perform this review and approval function. Enter the name, title and grade of the Mission Director or his designate. He signs the final version for submission to AID/W. This report is intended to reflect the official mission evaluation as finally determined by the Mission Director.

I. ACCOMPLISHMENTS SECTION

A. List all significant accomplishments during the six months covered by the report using concise narrative statements, e.g., instructed fifty elementary teachers, introduced new type rural health center, tested seventy seed varieties, obtained agreement with Ministry of Agriculture to implement feasibility study for Agricultural Cooperative Program in provincial capitals, etc.

B. This question is self-explanatory. If the answer is yes, describe in the Narrative Section.

C. This question is self-explanatory. If the answer is yes, describe in the Narrative Section or prepare a special airgram and reference it in the Narrative Section.

II. U. S. TECHNICIANS SECTION

If there are no U. S. technicians on the project, check the Inapplicable box. If this box is checked, no other boxes need to be checked nor any questions answered in this section. As there may be more than one type of technician on a project (contract, PASA, direct hire) sections are included for each type of technician.

A. Contract Technicians on the project.

Indicate whether yes or no. If yes, complete the section. If there is more than one contractor working on the project enter the information about one of them in this section and repeat the information for the others in the Narrative Section. Enter only those contracts that have been in effect during the reporting period.

1. Contract No. Enter the contract number.

2. Name of Contractor: Enter the name of the firm or individual.

3. Type of Contractor: Write in the type of contractor using one of the following: university, not for profit organization, architectural/engineer, construction, other commercial, or individual.

4. Indicate the total number of contracts involved in this project, not the total number of contract technicians.

5. This item applies only to one contract. If there is more than one contract, this item should be repeated in the Narrative Section. At the time of the report (Feb. 1 or Aug. 1) how many contract technicians should have been on board according to the work plan schedule? How many actually were?

6. Rating the Technicians. Given the total number of contract technicians on board for the referenced contract, how many fall into each category? The rating categories are mutually exclusive. Broadly defined, the rating categories are:

   a. Unsatisfactory: fails to meet requirements in many important respects.
   b. Marginal: meets most requirements, but not quite adequate in some important respects.
   c. Adequate: clearly meets all basic requirements.
   d. Good: clearly exceeds basic requirements.
   e. Outstanding: far exceeds basic requirements, has no significant weaknesses.

B. Participating Agency Technicians on Project.

Adapt the instructions of IIA (Contract Technicians) above to complete this section.

C. Direct Hire Technicians on Project.

1. Names. Enter the last name and initials of each direct hire technician. If there are more than five (5) such technicians, do not write a name in Item 1e. Instead write "See Narrative" and continue the listing in the Narrative Section.

2. & 3. Adapt the instructions of IIA (Contract Technicians) above to complete this section. Consider the total number of direct hire technicians as a group.

D. These items are self-explanatory. For every item checked, briefly describe the problem in the Narrative Section and what is being done or should be done to correct it.

III. PARTICIPANT TRAINEES SECTION

If no participant trainees are or will be involved in this project, check the Inapplicable box. If this box is checked, no other boxes need to be checked nor questions answered in this section.

A. The items in this section are self-explanatory. Items 1 through 4 should equal Item 5.

B. Returned Participants

If no participants have returned from training, check the Inapplicable box.

1. Man Months Training. Enter the total number of man months training received by returned participants. These figures are for the life of the project, not only for the six months covered by the report.

2. Rating. Adapt the rating criteria of Section IIA6 above to the returned participants.

3. The items in this section are self-explanatory. The totals for this section will differ from the total number of returned participants since more than one item may apply to the same participant.

IV. COMMODITIES

A. The rating of the quality of the commodities being used is largely a subjective judgment. See IIA6 for general guidelines.

B. The rating of the use being made of the commodities is largely a subjective judgment. See IIA6 for general guidelines.

C. Items in this section are self-explanatory. For every item checked briefly describe the problem in the Narrative Section and what is being done to correct it.

D. PIO/C List

If there are more than three (3) PIO/Cs issued for this project, do not give a PIO/C number in D/c. Instead, write "See Narrative Section" and continue the listing in the Narrative Section.

1. PIO/C Number: Give the PIO/C number.

2. $ Value Ordered: Give the $ value of the commodities ordered by the PIO/C.

3. $ Value Received: Give the $ value of all commodities received in the country against the PIO/C.

E. Delinquent Procurement. If the work plan scheduled arrival of commodities is missed and 120 days have passed, indicate whether the PIO/C involved authorized the USAID, GSA, or some other source to procure the commodities. Check the Inapplicable box if no commodities are over 120 days late.

F. Excess Property.

If no such property is being used on the project check the Inapplicable box.

1. If such property is being used, enter the original acquisition cost of all such equipment.

2. If the quality of the equipment is substandard, causing serious project delays, or is creating any problems which would probably not have occurred if new equipment had been used, check the "No" box and describe the problems in the Narrative Section or on a special airgram and reference it in the Narrative Section.

V. COOPERATING COUNTRY

A. The rating of the cooperating country's participation is largely a subjective judgment. See IIA6 for broad guidelines.

B. Items in this section are self-explanatory. For every item checked, briefly describe the problem in the Narrative Section and what is being done or should be done to correct it.

C. Government Attitude

The response to this question should get at the USAID's best estimate of the government's "real" attitude and not one to which the government is merely giving lip service for political expediency to please U.S. officials or other similar censors.

D. Citizen Attitude.

The citizens being reached by a project may be the persons being directly trained, instructed or served. The response to this question should get at the grass-roots attitude as distinct from the country's government's attitude.

E. Take-Over Plans.

What are the government's real intentions with regard to taking over and financing this project when U. S. participation is phased out according to project plans? Give the USAID's best estimate.

F. In this question, do not include returned participants, but only include other counterpart technicians working on the project. The rating is largely a subjective judgment. See IIA6 for broad guidelines. Give the total number of counterpart technicians on the project. Items 1 through 5 are a breakdown of this total.

G. Items in this section are self-explanatory. For every item checked, briefly describe the problem in the Narrative Section and what is being done to correct it.

H. Financial Contributions.

In this section report only those cash and in-kind contributions made directly to the project. Do not give general or department budget figures for the ministry (e.g., Agriculture) or for the activity field (e.g., rural health).

a. Cash: This is to be given in dollar-equivalents.

b. In-Kind: This will usually be a dollar-equivalent "best estimate" figure. Do not institute elaborate pricing procedures.

c. Total: Add cash and in-kind.

1. Total committed for life of project. This is for the period during which there is to be U.S. support. It does not include amounts to be spent on the project after the U.S. has withdrawn. Items 2 and 3 will not add to Item 1 until the project is completed.

2. Disbursed Prior Years. Enter the total actual amounts disbursed in prior fiscal years of the cooperating country.

3. Committed Current Fiscal Year. Enter the last month and year of the cooperating country's current fiscal year. Enter the amounts committed for the current year whether or not any portion has actually been disbursed.

I. This item is self-explanatory.

VI. AID/W PROJECT SUPPORT SECTION

A. The rating of AID/W's backstopping is largely a subjective matter. See IIA6 for broad guidelines.

B. Items in this section are self-explanatory.

C. This question is self-explanatory.

VII. GENERAL SECTION

If the answer is "Yes" to any of the questions in this section, explain the situation in the Narrative Section.

A. This question is self-explanatory. Problems might include natural disaster, labor strikes, war, revolution, banditry, weather, political problems, etc.

B. This question should include any material required by a technician to facilitate his work and could include latest developments resulting from research activities in the United States.

C. AID/W has a program of research and analysis covering all aspects of foreign assistance. Has this project highlighted any problem areas where original basic or applied research would be justified?

D. 1. Are there U.N. organizations such as WHO, or FAO involved? Are there other aid donors such as Germany or France involved? Are there voluntary agencies such as CARE involved? Is the Peace Corps involved?

2. If the answer to D.1 is "Yes" enter the name of the organization(s).

3. This question is self-explanatory.

E. A visit is here defined as inspecting the site, talking to U.S. and/or counterpart technicians, discussing problems, or being briefed. Driving by a project or a casual visit is not "visiting" it for purposes of this report.

F. Have events begun to suggest that the original scope, objectives timing and work plan require significant changes? If "Yes" describe the situation in the Narrative Section or in a special airgram and reference it in the Narrative Section.

G. Have events begun to suggest that the U.S. should phase out its financial participation in the project before the planned termination date? If "Yes" describe the situation in the Narrative Section or in a special airgram and reference it in the Narrative Section.

VIII. NARRATIVE SECTION

Use as many continuation sheets as necessary to cover the material. Organize this section to correspond with the structured portion of the TAPER. Reference the appropriate section and item number to identify the Narrative Statement. For example:

IIA1:	AID-1234
IIA2:	XYZ Assoc.
IIA3:	Other Commercial
IIA5:	7 of 8
IIA6b:	1
IIA6c:	5
IIA6e:	1

APPENDIX H

FOREIGN AFFAIRS INFORMATION MANAGEMENT EFFORT

PROPOSALS FOR AID INFORMATION SYSTEM

7/30/65

AID STAFF SUMMARY

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FOREIGN AFFAIRS INFORMATION MANAGEMENT EFFORT

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7/30/65

AID STAFF SUMMARY

BACKGROUND:

Beginning January, 1965, AID participated with State, USIA, ACDA and the Bureau of the Budget in a long range effort to develop a modern information system for each agency and for the foreign affairs community as a whole. The initial study was conducted by Dunlap and Associates, a private consulting firm, under contract with the Bureau of the Budget. Each Agency assisted the Contractor by the assignment of a team of in-house staff. The Contractor's final report on the initial inter-agency study was submitted on June 7, 1965 and focused mainly on concepts for the development of an inter-agency information system.

PURPOSE:

This joint Contractor/AID staff paper highlights the results of that part of the initial study concerned with AID information activities. It outlines problems, basic assumptions, AID's relationship to the foreign affairs agency system, the study now underway to design an information sub-system, for AID's Technical Assistance Program, and recommendations for the initiation of an information management system for AID.

PROBLEMS:

A modern and effective information management system will help to improve AID's operations in the following areas:

A. Evaluation and control of operations

1. The status of projects and programs is not adequately assessed.

2. There is a lack of criteria and organized dependable methods for evaluating the effectiveness of assistance programs.

3. AID does not apply adequately principles of "management by exception" by a systematic identification of implementation problems before they reach the "crisis" stage.

B. Information Dissemination

1. Employees are flooded by information of marginal or no value.

2. Managers frequently do not have essential information at the time that it is needed.

C. Files and Libraries

1. Information is not readily retrievable once it is stored.

2. Large, scattered, unorganized and incomplete files of infrequently assessed "background information" exist throughout the Agency.

3. There is an insufficient exchange of operating experience to permit exploitation of successful activities, to avoid repeating mistakes and to eliminate multiple studies of the same or similar situations.

4. There is an insufficient inventory and accountability of non-AID resources available for country development.

D. Common Use of Information System

1. AID/W staff offices do not adequately participate in the country planning, implementing evaluating process.

2. Results of research sponsored by AID and other organizations are not effectively utilized in country assistance programs.

E. Coordinating and Implementing Information Improvements

1. The 28 completed and 79 identified on-going information studies costing millions of dollars represent ad hoc improvement efforts not related to a commonly recognized and accepted information management system for the agency.

2. Responsibility for developing, controlling, and operating AID information management activities is diffused throughout AID.

BASIC ASSUMPTIONS:

The following assumptions are fundamental to the broad information systems concepts proposed in this paper.

A. Increased decentralization of substantive authority and operations to AID missions overseas is desirable. This will require better information in Washington to determine and assess performance.

B. Maximum emphasis on the development and application of non-AID public and private resources is fundamental to the country development process.

C. Progressive disengagement by AID in the country development process is required; both in terms of total AID levels, and in terms of individual projects with new commitments in areas which are critical to the development process which would not be otherwise undertaken.

D. AID's operations are so extensive, diversified and interrelated that the application of modern information technology and introduction of automatic data processing and other mechanized equipment to substantive operations is essential.

E. Modern technology requires increased centralization of administrative, financial and program support activities and related data processing in Washington. This will improve efficiency and effectiveness, reduce costs, reduce field workloads, and improve quality of information.

F. Development and installation of modern information systems is expensive. Before innovations are introduced a reasonable showing should be made of commensurate savings and operational benefits.

AID PARTICIPATION IN FOREIGN AFFAIRS AGENCIES SYSTEM:

AID has information management responsibilities as a member of the foreign affairs community both as a user and a supplier of information needed by several agencies. AID should be a member of a Foreign Affairs Information Board responsible for coordinating studies and establishing standards for common information requirements. The following studies should be undertaken to determine the nature and scope of an inter-agency information system:

A. Determine adequacy of present inter-agency crisis management and contingency planning to develop specific recommendations for appropriate improvements to strengthen State's Operations Center.

B. Study possibility of improving "U.S. Country Objectives" and "Strategy Statements" which will permit individual agency country programs to be focused toward clearly defined common goals.

C. Conduct feasibility study of subject and area classification codes to determine whether a common classification code is feasible for agencies in foreign affairs community.

D. Study feasibility of automatic dissemination of telegrams by State Communication Center directly to end users.

E. Determine extent of duplication of reporting from overseas, including State, AID, USIA, Peace Corps, Agriculture, Commerce, Military and all other agencies having overseas representation.

F. Survey total U.S. Government overseas communications facilities to determine duplication and recommendations to develop a single adequate system.

G. Study desirability and methods for sharing a common computer system among foreign affairs agencies.

THE TECHNICAL ASSISTANCE INFORMATION SYSTEM STUDY:

Detailed information system analysis and design is now underway for the AID Technical Assistance program and a final report on this study will be completed in October.

A. Systems design will be limited to developing a Technical Assistance project evaluation and control system.

B. An automated system is being planned to reduce manual workload and permit maximum manipulation of data to produce meaningful management information at all levels.

C. An automated capability will permit flexibility in form and frequency of reporting. Illustrative management reports will be developed indicating the range of information which can be obtained by the system.

D. There will be included recommendations for reports, forms, and records which can be eliminated if the proposed system is adopted.

E. The scope and direction of future information system development will be proposed.

RECOMMENDATIONS:

The following major recommendations are made for the long range development of a modern information system for AID. If approved, extensive and detailed systems development will be required for each component of the total system. An organization study will be necessary to establish the detailed functions and staffing for the proposed information management office.

A. A country program and project control system should be established. The present Country Assistance Program (CAP/LAS) and associated procedures should be revised to form the basis for an automated operations control system.

B. An automated inventory should be developed of all external resources available and applied to country development including non-AID resources.

C. The present dispersed communications and records system should be centrally controlled under professional management. After the location and content of official files have been inventoried and placed in order, the feasibility of the introduction of automation and microfilming techniques should be explored to eliminate the need for multiple copies, excess distribution, and all the associated hidden costs.

D. AID should promote country development libraries overseas as a technical assistance project. This could provide the repository or "memory" for technical studies, feasibility studies, technical aids, technical books and publications and all other information concerning itself with that country's social and economic development program. We should broaden our view of an AID "memory" to a cooperating country "memory" that would be institutionalized to provide

continuing services for all country as well as external advisors. AID should coordinate its activities with international and other organizations in this area.

E. An AID Information Management Office should be established under the Office of the Administrator. A fundamental problem is a lack of centralized and authoritative control over the improvement, development, and operation of information handling facilities and procedures.

1. It should include functions and staff of the ADP office, Reports and Statistics, Communications and Records, publications and technical services staff providing information to overseas technicians, files and records staff and other personnel in the agency now responsible for implementing various information management functions.

2. The research office should provide funds from present allocations to conduct research and development studies in connection with the AID information management program particularly as it relates to the interagency and cooperating country relationships to the total information management problem.

3. Until such time as the proposed information management program and office is approved information planning and systems development functions should be assigned to the Office of Management Planning. The present AID information management group should be disbanded upon conclusion of the present contract effort in October, 1965.

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