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June 22, 1984

INFORMATION MEMORANDUM TO ASSISTANT ADMINISTRATOR FOR
PROGRAM POLICY AND COORDINATION

FROM: W. HAVEN NORTH, ASSOCIATE ASSISTANT ADMINISTRATOR

SUBJECT: STATUS REPORT ON CDIE ACTIVITIES

I have attached a summary report on our office activities
to bring you up to date on some of the work of CDIE staff.

Attachment

CENTER FOR DEVELOPMENT INFORMATION AND EVALUATION

Program Status Report

The organization of the Center is almost complete. We are waiting for the last approvals of the position descriptions and the computer processing of the positions into the new organization plan. The next step is letting Agency staff know about the program and services of the Center so that it can use them more intensively in planning AID programs and projects.

The following paragraphs summarize the principal activities of the CDIE divisions.

Program and Policy Evaluation Division

-Impact Evaluations and Other Studies in Final Stages:

- *PL 480 Title I programs - final report due in July.
- *Agricultural Services - wrap-up workshop in September followed by final report.
- *Private Sector Special Studies - final report being prepared; also a comprehensive review of all the private sector studies to date and last year's conference is planned for completion this Fall.
- *Area Development-series being completed with special impact evaluations of private sector projects in area development; concluding conference for next Spring followed by final report.
- *Small Scale Enterprises - summary report to be completed this summer.

-Impact Evaluations and Other Studies Underway.

- *Professional Higher Education in LDCs.
- *Participant Training
- *Technology Generation and Transfer (planning workshop in July)
- *Development Management (joint with Africa Bureau, workshop in August)
- *Mountain Slope Farming Systems
- *Primary Health Care (Institutional Development)
- *Commodity Import Programs (Impact Eval. Guidelines)
- *Country Program Effectiveness (Brazil and Tunisia)

-Strengthening AID's Evaluation System and assistance to other donor agencies

- *We are preparing an Action Memorandum for the Administrator with recommendations from the Bureaus and CDIE on ways to strengthen the Agency's evaluation system. A revised evaluation handbook with a special supplement on impact evaluations is being prepared.

-Technical Assistance in Evaluation methods and procedures.

*Currently support is being provided to BIFAD, PRE and to workshops of AID/Offices e.g. energy officers training course.

*We are also writing the DAC Development Evaluation Reference Guide based on material supplied by the members of the DAC Experts Group on Evaluation.

Evaluation Applications and Statistical Analysis Division

-Development Experience Syntheses: Special short term evaluation summaries.

*Employment Generation, Women in Development, Wood Energy, Population programs - organizational alternatives, Project Design and Implementation Alternatives, and data collection and methodologies.

-Evaluation Applications analyses.

*We are preparing these analyses in a new attempt to make the findings of our impact evaluation series more practical and useful to field staff planning programs and projects. EASA staff are now working on the Agricultural Research, Irrigation and Community Water Supply evaluation series.

-Statistical services continue to be in great demand.

*We are transferring data resources to Bureaus and Missions, providing training in computerized statistical analysis, maintaining and up dating economic and social data bases. This division also completed during the past six months the economic and social data sections for the Congressional Presentation and the Section 620s (Military Expenditures) Report.

*We are providing technical assistance and guidance to Bureaus and Missions in data collection fieldwork, processing and analysis.

Development Information Division

-Technical Reference Services:

*This division is now responding to 350-400 requests each month. It has been able to keep current although the workload is heavy and the demand is growing.

-Decentralized Development Information Centers:

*A new center has been set up in Room 3659A a computer terminal, microfiche reader/printer and copies of basic AID documents. A training program in the use of the Development Information System will begin in July for the Asia Bureau staff. This division is preparing a revised project design for assistance to Missions in setting up their own development information centers - a number of Missions have asked for assistance.

-The development information system contract is in the process of being renewed. It will provide for one of the Agency's largest minority (8a) contracts. An evaluation and audit of the current project contract are being completed.

-The division is preparing a policy guideline statement for Agency approval on development information services and clients. It is also designing a computerized development planning topic reference guide.

Other CDIE Activities

-The Program Evaluation Committee - an informal group of Bureau level evaluation officers - has met every 4-6 weeks to discuss how to improve the management of the AID Evaluation System.

-We are participating in PPC's review of CDSSs, PIDs, PPs, ABSs, Policy Papers by providing guidance in the application of AID's information and evaluation experience for the design and management of AID programs and projects.

-Development Experience Abstracts are being prepared on the Impact Evaluations to serve as a quick reading resource for AID managers. The CDIE staff are writing articles for Frontlines and Horizons on the CDIE itself, Impact Evaluations and other Development Experience reports.

-We have completed a preliminary report on evaluations of narcotics control projects. An evaluation of the IFAD program is starting this month.

DEVELOPMENT EXPERIENCE DISSEMINATION

The objective of CDIE is to improve the quality of AID and LDC programs. CDIE contributes to this objective through 1) its leadership of the Agency's evaluation programs and 2) its dissemination of experience with development programs. The decision to combine AID Evaluation, Development Information and Economic and Social Data Services offices into one operation is a recognition of the importance of linking the capabilities of these offices in support of the overall objective.

A separate paper lays out the "1984 Agenda: Development Experience Reviews" - a series of Impact Evaluations and Development Experience Syntheses. This paper summarizes the services and reports provided by the CDIE, drawing on its considerable resources of program and project documents, technical and evaluation studies and economic and social statistics.

The principal courses of action for the CDIE to strengthen the Agency's application of its experience are:

- improving the quality and usefulness of development information;
- improving AID access to evaluation findings, development statistics and project and technical documentation through satellite development information centers in AID Bureaus and Missions;
- increasing the circulation of impact evaluation findings in forms appropriate to AID managers and project and technical staff;
- arranging workshops, video presentations, and other educational methods to expose staff to AID and other Agency experience.
- introducing evaluation findings directly into Agency programming: CDSS's, ABS's, PIDs and Project Papers.
- improving the Agency's decentralized project evaluation system with greater discipline in the conduct of evaluations and the use of evaluation findings and recommendations.

Various means for communicating AID experience are underway or being considered such as the Executive Memo on Evaluation Findings, a quarterly journal of Development Experience, special video workshop presentations, a computerized compilation of evaluation and audit findings and recommendations and a new series of articles in Front Lines and Horizons.

The operating divisions in CDIE have distinctive responsibilities for carrying out these actions, i.e. Program and Policy Evaluation (PPE), Evaluation Applications and Statistical Analysis (EASA), Development Information (DI) and CDIE coordinators. The products and services of these divisions are identified in the following paragraphs:

I. REPORTS

A. EVALUATION REPORTS

1. Project Impact Evaluation Reports: The evaluations in this series ~~are based on fieldwork by an interdisciplinary team.~~ They examine the intended and unintended impacts and the contributing factors of AID-funded projects in areas of priority interest to Agency management. (PPE)

2. Development Experience Abstracts: These abstracts provide quick ~~reading summaries of impact evaluations~~ for AID managers. (PPE)

3. Program Evaluation Discussion Papers: This series of reports ~~provides background information and sets forth issues~~ on topics of priority interest to AID. Often prepared prior to undertaking fieldwork in an "impact evaluation" area, the Discussion Papers provide a critical examination of assumptions and practices in a sector in the context of the Agency's mandate. (PPE)

4. Program Evaluation Reports: Reports in this series provide information on evaluations of entire programs, whether from an individual country, regional or Agency-wide perspective. This series includes the papers that are developed once project-level impact evaluations have been completed for a sector or topic and a synthesis of findings can be presented. The series also includes the conclusions of agency workshops on topical or sectoral areas, bringing together AID experience. They include specific statements on lessons learned. (PPE)

5. Special Studies: This is a series of occasional papers and reports produced by CDIE and elsewhere in the Agency that provide evaluative or other evidence that contributes to the Agency's knowledge of special projects or programs, such as the series on private sector development projects. (PPE, EASA)

6. Working Papers: These are reports produced by the office staff or contractors that have not been published or widely disseminated. They frequently review AID experience on cross-cutting issues of concern, such as project implementation problems, effectiveness of cooperatives, capital-saving technology, etc. (PPE, EASA)

7. Evaluation Methods Reports: This series provides ~~methodological guidance, resource directories and~~ bibliographies to support AID personnel in the evaluation of projects and programs. (PPE, EASA)

B. ANALYTICAL REPORTS

1. Summaries of Impact Evaluations: This is a series of reports aimed at synthesizing the major findings and lessons learned from completed Impact Evaluation sectors. These will be short, forward - and action-oriented reports for Agency management aimed at guiding future program and policy decisions. (EASA)
2. Development Experience Synthesis Reports review evaluation and audit materials in the AID Development Information System and other existing sources, assessing AID and other donors' experience in sectors, subsectors or with cross-cutting issues not covered by the impact evaluation series, but nevertheless of priority interest to the Agency. (EASA)
3. Statistical Analysis Reports use statistical databases and quantitative methods to assess major socio-economic development progress and problems and to analyze the impacts of government and donor programs and policies on these trends. (EASA)

C. STATISTICAL REPORTS

1. All DATA Reports: This series of automated reports are available for about 180 countries and contain time-series statistics available from the Economic and Social Data Bank for a given country. The report presents demographic, social, financial and economic statistics from World Bank and IMF sources. Plans are underway to expand coverage of agricultural statistics from USDA sources. (EASA)
2. Statistical Profile Series for AID Assisted Countries: This series presents data on sectors of priority concern to AID. Currently available are indicators of Nutrition, Food and Agriculture. Additional reports are planned on Urbanization, Housing and Education. (EASA)
3. Selected Statistical Data by Sex: This series of statistical reports is available for about 120 countries and offer economic and social data disaggregated by sex, age and rural - urban residence. The database was prepared by the U.S. Bureau of the Census for AID in order to facilitate a better understanding of the role of women in developing countries. (ESDA)
4. Country Economic Abstracts: These are available for AID assisted countries and provide a summary of recent trends in major economic and financial indicators for each country. (EASA)
5. Data Collection Methods Reports: This series of reports provides guidance, standards and inventories for Agency data collection activities. (EASA)

6. Congressional Presentation Data: These automated reports provide ~~summary economic and social~~ data for the AID assisted countries. The report is prepared annually for inclusion in AID's Congressional Presentation. (EASA)

620(s) Report to Congress: This statistical report provides ~~basic indicators and rankings~~ of military expenditures in developing countries. The report is prepared annually for Congress, and is also considered by AID in the determination of foreign assistance allocations. (EASA)

D. DEVELOPMENT INFORMATION REFERENCE REPORTS

1. AID Research and Development Abstracts: ARDA is a quarterly outreach publication which presents abstracts of AID-funded research studies, state-of-the-art reports, sector analyses, special evaluations and other development documents. (DI)

2. Selected bibliographies: Brief subject-specific bibliographies are generated periodically from the DIS database and disseminated to appropriate audiences. Under a USDA RSSA agreement, "current awareness" materials are sent to USAID and other agronomists concerning recent agricultural literature. (DI)

II. SERVICES

A. REFERENCE AND RESEARCH SERVICES

1. AID Technical and Project documents: CDIE provides on request copies of specific AID technical and research reports produced by AID or AID contractors, and also copies of AID project documents and evaluation reports. Copies are available in microfiche or in xerox form. (DI)

2. Non-AID Documents: CDIE also provides, on request, Non-Aid, development-related books and journals available in the Development Information Center library collection, in the microfiche collections, or in inter-library loan service. (DI)

3. AID Project and Document Abstracts: Automated summaries of AID projects and of AID project, evaluation, technical and research documents are available on request from the Development Information Systems. (DI)

4. Technical Information: CDIE searches on-line technical databases available to AID, such as databases from commercial vendors, the National Library of Medicine, and the Department of Energy. Annotated bibliographies are provided based on searches of these technical databases, as well as reproductions of selected articles and other publications. (DI)

5. Agricultural Information: Under an Agency RSSA with USDA, AID requests for specific agricultural information receive detailed responses, including searches for relevant materials from the National Library of Agriculture database. (DI)

6. Compilations of AID and other Donor Project and Program Experience: CDIE performs indepth research or synthesis services for AID staff. These services involve detailed searches of databases, selection of relevant materials, and synopsis of experience on specific projects, programs or topics identified by AID staff. (DI)

7. Other Reference Services: CDIE answers general questions about AID's history and policies, and makes referrals to other sources of information within or outside of AID.

B. STATISTICAL SERVICES

1. Statistical Databases in Machine-Readable Form and Documentation: CDIE provides copies of Economic and Social Databases, or portions thereof, in machine-readable form such as tapes and microcomputer diskettes, with appropriate documentation. Continuing updates several times a year are provided to client organizations. (EASA)

2. Ad Hoc Requests for Statistical Services: CDIE responds to ad hoc requests for statistical services including providing basic statistics available from the automated databank, tailor-made statistical reports, statistical calculations, graphics and analyses, and searching for statistics in non-automated sources. A RSSA with the Bureau of the Census, Surveys and Evaluation Unit provides for technical review of project documents with data collection by survey specialists. (EASA)

C. TECHNICAL SERVICES AND TRAINING

1. Strengthening AID Evaluation Systems: CDIE provides technical oversight of AID's decentralized evaluation operations in the Bureaus and Missions. This includes preparation of Evaluation Handbooks, technical assistance on evaluation methodology, review of evaluation plans and Bureau/Mission performance on evaluations. (PPE)

2. Technical Review of Documents: CDIE provides technical and ~~evaluative review of Agency documents~~ in areas of expertise. Documents reviewed include project design documents, policy papers, evaluation plans, country development strategy statements, and evaluation scopes of work. Other services to regional, central bureau offices and missions, include participation on project evaluation teams, sharing costs and otherwise assisting in evaluations and conferences. (Coordinators, PPE, EASA, DI)

3. Technical Assistance: Assistance is provided to USAID missions in establishing development information resource centers, in improving their document collections, and in using automated technologies and methodologies to improve their access to development information. (DI, EASA)
4. Training: CDIE provides training to AID/W staff in evaluation programming and methodology in directly accessing the automated Development Information System and Economic and Social Databases and in the use of computer software to display and to analyze the statistics. (DI, EASA, PPE)
5. Briefings: CDIE provides briefings on all aspects of its operations for AID senior management and professional staff.
6. AID Document Distribution System: CDIE maintains and operates ADDS which is used to generate mailing lists and labels for the distribution of numerous AID newsletters, publications and other materials. (DI)

EVALUATION

I. OVERVIEW

Evaluation of performance continues to be an integral element of AID policy. Evaluation enables AID to measure progress and determine success or failure, and the reasons therefore, of programs in its large and diverse development portfolio. Equally important, evaluation provides information which can be used to guide planning, design and management of new programs.

AID's evaluation system has a number of strengths --notably its impact evaluation series, which appraises the effects of agency programs and has acquired enthusiastic support both within and outside the agency. However, there is a growing perception that the agency needs to strengthen its ability to disseminate and ensure utilization of information developed through the evaluation process as well as from its substantial technical and developmental information resources.

With this in mind AID made a major change in its central evaluation organization in FY 1983, by combining its Office of Evaluation and its Development Information Utilization Service into a Center for Development Information and Evaluation. The new Center consists of three divisions: Evaluation, which is responsible for the effective conduct of evaluative research in the agency;

Information, which manages the agency's development information, automated information collections, and reference services; and Analysis, which administers analytic studies of quantitative and non-quantitative development information aimed at summarizing, synthesizing and in other ways organizing and condensing agency experience, information on trends in developing countries and other information pertinent to the agency's needs and interests. The reorganization is expected to improve coordination and utilization of both the functions and products of the Center.

II. STRATEGY

The Center's strategy for supporting AID policy and objectives is to strengthen the agency's ability to analyze and learn from its experience. To carry out this strategy the Center will focus on improvements in:

- applying lessons learned to planning and management of programs and to policymaking;
- the capacity to acquire, assimilate and transform information on development experience into meaningful guidance, and to disseminate and utilize it;

- agency staff awareness of an accessibility to information resources.

III. PROGRAM ACCOMPLISHMENTS

As part of their planned programs, and as a result of pre-reorganization planning, the divisions which comprise the new Center made a number of significant accomplishments and starts in FY 1983.

A. Evaluation Division

1. Completed field work on four impact evaluations in agricultural services, irrigation and the private sector,
2. Conducted international conferences on PL480 Title I and irrigation, in which participants examined lessons learned and other evidence from impact evaluations and developed recommendations for improving policies and programs in both sectors.
3. Published nine impact evaluation studies covering PL480 Title I, irrigation, agricultural research, education and housing investment guaranty.

4. Published six special studies on the private sector.
5. Designed the methodology for an assessment which examined performance under field conditions of various renewable energy technologies and systems, and which determined prospects for extensive use of such systems in Africa. This assessment helped shape Africa Bureau energy strategy.
6. Initiated a proposal to ensure that relevant information in the agency's central holdings on development experience is made known and available to those agency personnel assigned to prepare agency policy papers.
7. Participated in the agency's review and approval for documents on country strategy statements, project planning and design and budget proposals to ensure that lessons learned from agency experience are brought to bear in these areas.

B. Information Division

1. Increased ~~to 90% (from 55%) for all projects active in 1974 and beyond~~ the project description coverage of AID development experience included in the agency's automated institutional memory system, from 65% of all AID projects (active in 1974 or since) to 90% coverage.
2. Initiated a user training program to increase agency staff awareness and utilization of information on lessons learned in the institutional memory system.
3. Established an analytic research unit to provide a capability for information analysis to agency project staff, managers and evaluators.
4. Reorganized and consolidated the agency's development experience holdings into one library site.
5. Redesigned and converted the Development Information System ^{(DIS) operation on} from an expensive, time-shared mainframe computer to a low-cost,

dedicated mini-computer, thereby making possible a cheaper and more responsive feedback operation.

C. Analysis Division

1. Expanded the agency's automated statistical data base, which contains economic and social trend data on the Less Developed Countries, and shifted them to a new system which has greater capabilities for analysis and display. New data cover external debt, development assistance flows, food aid needs and agricultural commodities statistics.
2. Filled numerous requests from AID missions, offices and associated institutions, and from other U.S. agencies for statistical data, data bases and analyses.
3. Developed for the agency a capability to apply automated graphics and statistical analysis software packages to the interpretation of data, and provided training and technical assistance in these techniques.

to agency program, project and technical officers. This is a valuable support tool for planners, designers and evaluators of agency programs.

IV. PROPOSED PROGRAM

Created late in FY 1973, the Center in FY 1984 will necessarily focus on consolidating its organization and integrating its major functions; at the same it will begin giving more attention to steps needed for effective dissemination of its products to intended users.

Activities in progress or initiated in FY 1984 will be continued or completed in FY 1985.

A. The Evaluation Division will provide agency leadership and guidance on conducting field evaluations and special studies, developing methodologies, planning evaluations, and applying lessons learned by:

1. Continuing the impact evaluation program which, in concert with other studies, will provide valuable insights into agency performance and useful guides to policy and project planning.

Studies to be completed or initiated fall broadly in the areas of agricultural development, private enterprise, technology transfer and health and population. Other studies may include country assistance effectiveness, higher professional education, commodity import programs, development institutions and direct food production.

2. Continuing to conduct special studies of interest to agency but not appropriate for impact evaluations. Examples could include subjects which cut across program areas, or where our experience is relatively new.
3. Continue to monitor agency policy papers, strategy statements, and project planning and design documents to ensure consideration of lessons learned in the review and approval process.
4. Providing or arranging technical assistance responsive to request from agency missions and bureaus. *for what?*

B. The Information Division will increase utilization of information and related technologies by:

1. Creating self-sufficient information resource units in bureaus and missions by conducting training workshops for their users.
2. Increasing the level of backstopping in order to improve responsiveness to bureau and mission requests for technical assistance in library and information management.
3. Developing alternative methodologies and technologies to fit the varying capabilities of missions and bureaus to gain access to and utilize the experience information in the agency's institutional memory system. ~~Examples include a Development Thesaurus, database models, as well as computer-based and other options.~~
4. Acquiring additional developmental and technical information by establishing and maintaining exchange agreements with such

other international and national development assistance organizations as the World Bank, United Nations Development Program, Canada International Development Agency, and the Gesellschaft fur Technische Zusammenarbeit.

5. Expanding the analytic response capability to provide tailored, synthesized development and technical information packages for program planners, designers, evaluators and researchers.

6. Improving the agency's institutional memory coverage by completing the microfilming of bureau project files and by implementing formalized procedures to obtain missing project documentation and technical reports.

C. The Analysis Division will provide country-level statistical information and analysis service, provide leadership, management and coordination to agency data collection activities, and initiate a process to develop lessons learned from experience through synthesizing and analyzing project, technical and statistical information by:

1. Expanding documentation of statistical data bases and developing new software programs to increase access and understanding by users.
2. Expanding statistical data bases into areas not adequately covered, such as energy, natural resources, private sector initiatives and international commodity trade.
3. Improving the capability to provide tailored statistical reports, graphs and analysis.
4. Disseminating information on agency-funded data collection activities in various Less Developed Countries to avoid duplication of effort and provide information useful for new survey efforts.
5. Synthesizing multiple impact evaluations and summarizing major findings in "bulletins."

6. Synthesizing materials on evaluation and lessons learned in the agency data bank and analyzing agency experience in sectors not yet covered by impact evaluations.

7. Providing statistical analyses of major socio-economic development trends and problems and the impact of government and donor programs upon these trends.

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Objective for 1984

To develop AID's Center for Development Information and Evaluation (CDIE) to assist in guiding AID program and policy planning.

The Center will:

- serve as a repository for AID and related development information;
- undertake AID program and policy evaluations;
- provide AID management with current analyses on development experience and their applications;
- provide development information and evaluation application services to AID Bureaus, Missions and cooperating developing countries;
- manage AID Evaluation System;
- extend AID Evaluation conclusions and methods to other interested public, private and international organizations in development.

Sub-objectives for achieving above (short term)

- integrate CDIE units into coordinated, interacting group; including approval of reorganization plan;
- improve the quality and coverage of the development information trends analysis and evaluation applications material available in the DIS reference system and to AID management;
- establish 1984 Evaluation Agenda;
- improve the AID Evaluation System including an Evaluation Handbook, Bureau and Mission evaluation coverage;
- improve AID access to development information and evaluation conclusions adapted to differing AID consumer interests.

Maury

October 14, 1983

MEMORANDUM

TO : IG, Herbert Beckington
FROM : AAA/PPC/E-DIU, Haven North
SUBJECT: Administrator's Retreat Follow-up Assignment

Per Mark Edelman's August 18th memorandum (attached) we share a retreat follow-up assignment to work out procedures for improving staff access to audit and evaluation findings.

To start the ball rolling, I'm listing a number of things which are actions my Office has and/or will be taking in this area. After you review where your Office stands it might be a good idea to meet and talk over the final statement we want to make. We're running a bit late here, but I'm sure that ES will give us a few days grace period to finish a joint report.

A. Actions Already Taken in PPC/E-DIU

1. Evaluation and Audit Findings Entered in to AID's Automated Memory

Since the mid-1970s, PPC/E-DIU has been entering abstracts of the evaluations and audits it receives in the DIS data base. That data base is not, however, complete with respect to AID's history:

- The data base covers projects which were financially active on/after October 1974 (the effective start date for the data base).
- Information on project designs, evaluations and audits can be abstracted and entered only to the degree that such documents are actually delivered to PPC/E-DIU from other parts of the Agency. Delivery of such documents is less optimal as we reported in AID's response to the GAO's report of June 1982 on AID's use of experience. Neither operating bureaus nor the AID contracting office, both of which are required to submit documents to DIU, effectively monitor submission and enforce these regulations. Thus, our coverage, as shown for project design documents and evaluations of projects on which we have design material is incomplete.

BUREAU NAME	Number of Projects Active On/After October 1974	Number of Projects on Which DIS has Abstracts of Project Designs	Number of Projects on Which DIS has Evaluati Abstracts in Addition to Design Abstr
BUR FOR FOOD FOR PEACE AND VOL ASSIST	273	42	35
BUR FOR POPULATION & HUMANITARIAN ASSIS	1	0	0
BUR FOR PROGRAM AND POLICY COORDINATION	61	4	6
BUR OF INTRAGOVTAL AND INTERNATIONAL AF	4	0	0
BUREAU FOR AFRICA	935	562	367
BUREAU FOR ASIA	561	368	233
BUREAU FOR LATIN AMERICA AND CARIBBEAN	1068	752	494
BUREAU FOR NEAR EAST	400	286	164
BUREAU FOR PRIVATE ENTERPRISE	11	6	4
BUREAU FOR SCIENCE AND TECHNOLOGY	647	427	272
OFFICE OF THE SCIENCE ADVISOR	1	1	0
OTHER	6	0	0
TOTAL:	3968	2448	1575

Figure 1. DIS Holdings by Bureau As of 10/6/83

Number of Projects
Active On/After
October 1974

Number of Projects
on Which DIS has
Abstracts of Project
Designs

Number of Projects
on Which DIS has
Evaluation Abstracts
in Addition to
Design Abstracts

BEGINNING FISCAL YEAR

52	11	5	4
53	3	2	1
54	11	3	3
55	11	1	3
56	6	4	3
57	14	5	7
58	12	6	6
59	13	6	4
60	27	12	16
61	19	13	8
62	37	19	16
63	69	36	30
64	55	28	21
65	85	50	42
66	89	50	38
67	124	56	42
68	133	69	52
69	121	66	48
70	151	96	64
71	186	129	82
72	157	85	70
73	177	97	70
74	184	105	87
75	258	164	144
76	304	212	181
77	253	186	132
78	368	267	179
79	345	240	132
80	329	202	65
81	195	111	18
82	215	120	7
83	6	3	0

3968

2448

1575

(See Figure 1 and Figure 2). We can identify how many audits are on the data base, but we do not have the information on the number of audits undertaken which would allow us to define our DIS holdings in that area as a percent of what should be in the data base. Such a check might be possible for the IG, using IG records of the total number of projects audited and DIS information on audits in the data base.

- For virtually all materials on which DIS has abstracts, the AID Library has microfiche and/or hard copy of the original document from which these abstracts were created. For a time these basic project documents were stored outside of AID in a contractor's facility; when PPC acquired the DIU, these documents were brought back to AID and now part of the Library collection in RPC. (Instances where the Library does not have original documents are situations where borrowers have not returned materials. In the past several years we have improved our ability to loan second and/or microfiched copies, thus preserving our supply of originals and reducing the scope of this problem.)

2. User Access to DIS Materials

Since the mid-1970's the primary mode of access to project materials in the DIS (and to hard copy facimiles) has been through the AID Library, also known as the Development Information Center. Individuals in bureaus or missions have been able to contact the DIC via phone, cable, letter or by walking into the library (which until this summer had two locations, one in State and one in RPC). By indicating the subjects of interest, a user has been able to secure information without learning the details of the automated storage and retrieval system. (Our PPC/E-DIU analysts are highly trained at translating English language terms users present into the more specific terms in our data base thesaurus and then processing data base retrieval commands in machine readable form for users. Normally a two-stage process is used in which the first stage identifies the sheer volume of holding in a particular area and the second stage narrows or expands the search and leads to the printing of pertinent abstracts. By reviewing abstracts users can then select the project evaluations (or designs or audits) where a complete text would be useful. Requests for complete texts are handled by the DIC analysts and the library staff on a routine basis using information provided by users based on the printouts and other references we supply them.)

As we move toward a more automated future, PPC/E-DIU is preparing for the time when missions and bureaus will have the computer hardware needed to perform many searches of the DIS on a "self-service" basis:

- Some of our regional bureaus, e.g., Africa, already have such hardware. This month we are starting a small project (purchase order) which will focus on bringing Africa bureau users to the point where they can search the DIS directly. Through our DI Division a contractor will be working with Africa Bureau personnel -- mid level managers -- to bring these professionals to the point where they can perform their own first level searches. Through this contract we will be trying to define the training we will need to supply to other bureaus and to missions as they acquire equipment.
- We intend to reach the point in a very short time where we can transfer the contents of the DIS data base to missions. We are in the middle of a fairly technical study which deals with the means for transferring the data base which is on Hewlett-Packard equipment, through appropriate software program transformations, to the types of equipment our missions are receiving from M/IRM, e.g., Wangs, IBM PCs and Apples. Once the technical details are resolved, we will be able to start moving toward the creation of floppy discs for the missions which will allow them to do the same types of searches we will be helping the Africa bureau to start undertaking immediately.
- While the self-service concept is our long run model, we do not intend to stop providing services to those who cannot (or do not want to) access the data base directly. Analysts in RPC as well as an analyst who will move back into State when the PPC modularization is complete, will continue to handle search requests from AID professionals and other legitimate users of this information.
- We are developing a new series of briefing modules for presentation to bureau and mission staff which will aim at increasing their awareness of the DIC resources and their understanding of how to access the DIS. We will work with the Office of Training to move these modules into regular

courses to supplement the ad hoc presentations our staff makes to various offices and missions in the bureaus which should be calling for information on evaluation findings.

3. Supplementary Steps to Simplify and Increase Access to Evaluation Findings

Recognizing the Agency's need for simplified access to information on evaluation findings, we have a number of activities underway which should bear fruit in the next few months:

- We are currently preparing a compendium and index of FY82 evaluation findings from around the Agency. This compendium and index is the first volume of its kind for AID. We already have arrangements in place which will develop the FY83 version of this new publication. We anticipate that the volume leads to modifications in our approach and we do not plan to set up for production of the FY84 version until feedback on the first issue has been received.
- In the area of our impact evaluations we are currently working on two types of summaries:
 - Summaries of individual sectors. Under a contract last year with AD Little, we experimented with the development of lessons learned summaries for sectors where we have completed our work. That exercise provided a model using the Agricultural Research impact evaluation work we have completed. Building on that model we intend to double back and create short summaries of other sectors we have completed and we will build the development of such summaries into our planning of work on future topics.
 - We are continuing an exercise Dick Blue initiated to identify the findings which cut across topical areas in which our impact evaluations have been undertaken. A contractor has devised a procedure which we like in principle (but which we are modifying to provide us with a sense of which findings are backed by strong versus moderately strong evidence). The contractor's product, which will cover the first 40 impact evaluations, will give us a procedure which we believe can be followed in the future to extract "cross-cutting" findings from the impact studies. When ready, this product will of course be widely circulated in AID.

While PPC/E-DIU is taking many steps to improve the access of AID staff to evaluation findings, we again note -- as we noted in AID's response to the GAO report -- that no matter how accessible PPC/E-DIU materials, they will not be used unless AID's operating bureaus develop both an improved attitude concerning use and process for ensuring that existing requirements for the use of this information (e.g., explicit statements in AID Handbook 3, in last year's CDSS guidance, etc.) are taken seriously by mission and bureau staff. The old adage about taking horses to water clearly pertains to AID's situation with respect to the application of evaluation findings to forward planning and management of the foreign assistance program. Access to information is already quite good. We're moving rapidly to make further improvements in this area. But we cannot guarantee utilization -- which is the objective toward which all actions in the area of access improvement are logically and appropriately directed.

Attachment: A/S

cc: AA/PPC, Richard Derham ✓
PPC/E-DIU, Maury Brown ✓
PPC/E-DIU, Marion Warren
PPC/E-DIU, Annette Binnendijk
PPC/E-DIU, Michael Zak

cc: Mr. Hagelbush
Dr. Skellander

August 18, 1983

OFFICE OF
EXECUTIVE SECRETARY

MEMORANDUM FOR: C/AID, Frank Kimball
AA/M, Tom Rollis
A-AA/PPC, Dick Derham ✓
FROM: ES, Mark L. Edelman *MLE*
SUBJECT: Administrator's Retreat Follow-up

The Administrator has approved the actions listed below as follow-up on the Retreat. Items are grouped under the office responsible for seeing that the tasks are accomplished and reported to the Administrator by the dates indicated.

C/AID

1. With PPC to undertake a review with Regional Bureaus of the "four pillars" concerning:
 - (a) how well portfolio reflects progress in adopting these four means of reaching development goals;
 - (b) identification of specific problems areas - countries, sectors, projects - in using the "four pillars" with particular attention to policy reforms.

*Kramer
Reserve
Franklin
Jensen*

Regional Bureaus are to have principal responsibility. Nov. 1

2. With PPC to review question of strengthening CDSS/ABS process by improving sector analyses. Nov. 1
3. With PPC and AA/M to develop standard portfolio review procedure with the objective of alerting the Administrator to problem projects. Nov. 1
4. With Yaeger and Kivimae will follow-up on Implementation Task Force Assignments during August and September including attention to: Sep. 30
 - (a) increasing Agency staff awareness of the Administrator's interest in improving implementation performance;
 - (b) instituting awards for outstanding performance in project evaluations; EVAL
 - (c) preparing guidelines for selection, evaluations and promotion of quality personnel in project administration.
 - (d) introducing management reviews of Mission operating performance.

*Yaeger
Wick
Regis*

EVAL To cost
Kivimae

5. With PPC to work out introducing annual regional and central bureau program strategy and budget reviews at which AAs will present and defend program budgets within framework of recently prepared program strategy statements. Sep. 1

6. With AFR to review opportunities, primarily in Africa, for (a) shifting small country programs to participant projects, (b) streamlining program operations, reducing sector coverage and number of projects. Nov. 1

7. With PPC and S&T the idea of establishing S&T Multi-Sector Office as the AID Office of Institutional Development to oversee, and provide technical expertise on implementing AID's institutional development policy. This action should take into account the recent World Bank World Development Report on Management in Development. Oct. 15

A-AA/PPC

1. With Beckington to work out procedures for improving staff access to audit and evaluation findings. Oct. 15

AA/M

1. Prepare for Administrator's review recommendations on contracting for administrative support to AID and host country contractors. Oct. 15

2. To proceed with further analysis of "bureaucratic systems" issue raised in the Climate Survey. Oct. 15

3. With GC to determine how to introduce performance incentives in AID contracts. Nov. 1

4. Prepare report and recommendations for Administrator on:

(a) increased use of local accounting and audit firms;

(b) tighter guidelines on use of host country contracts.

Oct. 15

DISTRIBUTION

See Page 3

DISTRIBUTION:

A/AID	Peter McPherson
DA/AID	Jay Morris
DA/AID	David Mein
C/AID	Tom Oliver
A/AID	Frank Donatelli
A/AID	Haven North
A/AID	Phil Birnbaum
A/AID	Tom Casstevens
A/AID	Rick Tropp
AA/ASIA	Charles Greenleaf
DAA/AFR	Ray Love
AA/FVA	Julia Chang Bloch
DAA/FVA	Chuck Gladson
FVA/PVC	Tom McKay
A-AA/LAC	Buster Brown
AA/NE	Antoinette Ford
DAA/NE	Brad Langmaid
AA/PRE	Elise du Pont
DAA/PPC	Fred Schieck
PPC/WID	Sarah Tinsley
OPA/EXRL	Kate Semerad
LEG	Kelly Kammerer
GC	John Mullen
IG	Herb Beckington
AA/M	Ain Kivimae
M/PM	Bill Sigler
M/FM	Curt Christensen
EOP	Ivan Ashley
OFDA	Martin Howell
BIFAD	Fred Hutchinson
AA/S&T	Nyle Brady
DAA/S&T	John Ericksson

2. PAPERS/DISCUSSIONS OF CDIE'S AND DI'S
USER CLIENTELE

MEMORANDUM TO: AAA/PFE/CDIE, Mr. W. Haven North
FROM : PFE, David I. Steinberg
SUBJECT : The Clientele of the Center for Development
Information and Evaluation

The following is idiosyncratic analysis of the question of the potential clientele of the Center. It has not been cleared with the staff although various and diverse views have been sought and received. The responsibility for the opinions rests with the author.

1. The Purposes of the Center.

The clientele of the Center is effectively circumscribed and defined by its purposes, purposes that are not necessarily accurately reflected in Agency manuals, and that in any case must change with the amalgamation of several discrete elements that comprise the Center's present staff. These purposes moreover, have in the past inchoately shifted over time, and many well (indeed perhaps should) shift again. Further, the purposes of one element of the Center may not necessarily coincide with the purposes of a different element or section. The definition of these purposes have important funding and staffing implications, and logically influences its agenda and determines the products or services the center produces. The functions and purposes of the Center are separately oriented.

A. At the most general level of abstractions, the overall function of the Center -- whether it is data collection or retrieval, statistical analysis, information supply, evaluation,

or training and information for any of the above -- is essentially retrospective in character. It examines the experience of the past and groups or categorizes this experience in some manner that will have meaning and value to one or several audiences, its clientele.

what direct work in: Programs, organizing, Prep, etc.

B. Although the function is retrospective, the purpose of the Center is future-oriented. It is to influence in some positive manner future planned activities in development to improve upon past performance. To this end, the past is analyzed through data supplied from internal or external sources, secondary literature, primary materials, or field research. The sources of the data, whatever their accuracy are less important at this level of abstraction than the means by which they are acquired, or the methods by which they are stored or retrieved. The way they are analyzed and presented for this will largely be determined by the clientele to be served.

AID is presently too -emph direct office level prep less no change is intended

BEST AVAILABLE COPY

Also. focused parties in S+T, where it impacts on actual as well

C. The amalgamation of the retrospective function of the Center with its future-oriented purpose is the goal of the office: to enable the clientele to learn and profit from previous developmental experiences. To this end, these materials must be analyzed into categories that are 1) relevant to the clientele; 2) couched in terms useful to the clientele, and 3) presented in a manner that is timely to the needs of the clientele.

D. Whoever the clientele may be, it would be imprudent to assume that they necessarily can articulate all of their needs at any one time, have formulated an effective priority list of these needs understand what the Center is possible (within time,

staff, and financial constraints) of producing, that they have articulated their needs in a manner most productive to the Center providing useful answers to their questions, or that these issues will remain constant over time. It would also be equally imprudent to assume that the Center has the same omnipotent capacity to answer all of these questions with the requisite degree of certainty. The primary need, therefore, is for a degree of flexibility coupled with mechanisms for dialogue that will allow definition and redefinition of needs between the clients and the Center. Although the overall purpose of the Center (to affect positively the future) may remain firmly implanted, the means to achieve this purpose and the analytical methods employed, and thus the products or services produced, must remain flexible. The Center thus should not be bound by what has become traditional approaches to analytical categories (sectors, sub-sectors), data sources, methods of acquisition of such data (impact evaluations, etc.), or the means by which these materials are presented to the clientele (e.g., the present series of publications).

attached
with ... etc
11/10/2010

E. This flexibility has important budgetary and administrative implications. Indeed, there are inherent contradictions in an administrative system that requires two-year advance budgetary planning based on projections that must, by the nature of the problem, result in spurious specificity. Mobility of staff with specialized skills into the Center is difficult to anticipate as well. Any effective system that attempts to meet client needs, which may themselves shift over time, and the probability that the clients themselves are also likely to change, must recognize

these issues and attempt to deal with them within the boundaries set by realistic congressional requirements and internal bureaucratic staffing and budgetary competition.

2. past Clientele of the Components of the Center and Funding Implications.

A. There have been perceptible shifts in the clientele of the various components of the Center over time. These have gone unrecognized in official documents, which are essentially static. They are in any case outdated.

B. The evaluation function began with a focus that was predicated on eventual service to PPC as one element of policy formulation through evaluations (not "impact evaluations.") The clientele was thus immediately PPC itself. With the advent of the former Administrator's personal interest and attention to impact evaluations, (in order that he personally could grasp the dynamics of developmental effectiveness in terms of the people affected) ² the focus and clientele became top management (essentially, the Administrator himself, who by example, set in motion interest of other high level management -- the Assistant Administrators. At this stage, policy formulation became a ^{but aren't} secondary priority. This is not to say that contributions to ^{top} policy were not a potential goal, but the Office of Evaluation ^{management} could not develop culmulative evaluative experience quickly ^{the} enough to influence policy in a convincing manner. In addition, ^{ultimate} PPC as a whole (including the Evaluation Office) treated field ^{policy} or regional bureau evaluations as essentially self-serving ^{maker}

(a means by which to sell effectively new projects or demonstrate internal efficacy). There was thus no body of credible evaluative data that could affect policy formulation.

C. At just the time when such an effective and creditible^a body of evaluation experience was accumulated through the impact evaluations (as in the case of rural roads), a new administration came into power with its new set of conceptual guidelines for policy (e.g., private sector). This halted policy formulation as PPC/PDPR began to develop new policies and revise old ones with little reference to the Office of Evaluation. *redacted*

D. At the same time, top Agency management did not pay a great deal of personal attention to evaluation although (perhaps because of Congressional interest) it was both appropriately funded and publicaly supported.

E. The increased interest in the internal focus of *Bennett* evaluation beginning about 1979 led to funding tensions as budgets grew. If the function of the Office of Evaluation were internal (i.e., to "educate" AID staff), then there were those in Congress who argued that all such expenditures should be a part of operating expenses, on which there was continuous, even unrelenting pressure, rather than program funds. It was thus partly for internal budgetary reasons as well as for inherent developmental ones that some of the Office's activities were directed toward improving the capacity of developing country evaluation organizations and donor coordination and improvement in evaluation through such organizations as the DAC. As part of this process, the office published the Directory of Central

Evaluation Institutions of developing nations. Thus it could cogently be argued that a portion of the office's budget could logically be attributed to program funds. The work of DIU in supplying development information ^{of technical assistance} to international clients also is illustrative of the perceived need to use the program budget account for some of their operations. These needs and tensions between operating and program funds continue to be a major factor in defining the past and future clientele of the combined new Center.

OK

F. Timing is an important and changing but critical element in determining the clientele of the Center. There are here at least three crucial factors: 1) the length of time that the office can respond ^{to work} to clients with creditable data based on literature searches, statistical analyses, cumulative project or evaluation material, or field research; 2) the limited attention span of management that believes it needs information quickly;

and 3) the synchronizing of the timing of evaluations and policy formulation.) *the timing of info services in support of project design/development/assessment*

limited not

- 1) Data retrieval from AID or published sources is generally quickly responsive to client needs, but subject to many limitations. Much of ^{available} AID data is questionable (the project documentation and evaluations from the field/regional bureaus) because of the sales element. To sift and analyze that data in meaningful, qualitative terms takes time. Field-generated data from impact evaluations require a wide range of material from which to generalize that has taken approximately 18 months when one or two staff are assigned to any one issue.

Other data to be analyzed about

to generalize to generalize

Even when the total resources of the office were mobilized for one subject (private sector), six months was required to complete fieldwork, an additional month to write the summary paper and hold a conference (an internal educative mechanism), more months to publish it, and to date (almost two years from the start of the effort) the summary conference conclusions have still not been published.

- 2) Management often demands quick responses to immediate, perceived problems or issues, and it has been very difficult for the evaluation office to reply in a timely manner except when the idiosyncratic talents of individuals could be drawn upon based on past, extensive research, or when a field of inquiry has effectively been anticipated. The credibility of the evaluation office as an arm of management has often suffered as a result.
- 3) The major effect by PPC/PDPR to formulate policy has left behind evaluation in most cases. The evaluation process has often become irrelevant to the Agency's perceived policy agenda. There have been only two noticeable exceptions: the Office of Evaluation's Rural Roads sector work, which has now been translated into a transport policy paper that has

X

and irrigation, the policy for which PDPR is now in the process of formulating. In both cases, the evaluation office anticipated the need for agency policy. In the fields of education, potable water, agricultural research, and rural electrification, the ^{evaluation} work has had no discernible impact on policy, although the efforts may well have affected individual projects. It is also unlikely that policy will be changed by work in agricultural services or health.

3. Cost Effectiveness and the Clientele.

A. In terms of applying the efficient use of Center staff time and funds to affect positively the future of development, the most cost-effective means potentially seem to be the influence of the Center on policy; those of AID, other donors, and recipients. The Center, however, is not in synchronization with AID's policy formulation, as we have seen, and without structural changes in scheduling and timing as well as in administrative coordination, evaluation is likely to remain essentially ineffective in policy matters. The Center now has neither the means, staff, funds or time, nor even the administrative mechanisms by which to influence effectively the institutions that write policy. Yet the Congress continuously asks that AID demonstrate that it learns from experience, and the Center can continue to be critical of the past only insofar as it demonstrates that it positively affects the future.

B. If the Center has difficulty affecting policy under current conditions, it can influence regional bureau/mission projects essentially on an ad hoc basis through supply of information,

analyses, and occasionally individual evaluation staff services, as well as through training in evaluation techniques and methodology. These efforts do build up acceptance of the Center in the regional bureaus. Reviews of project documentation (PIDs, PPs, etc.) is subject to severe staff limitations) because of time constraints and tardy coordination. The results are inevitably spotty or sporadic.

C. Center influence on policy or individual projects, however, is still likely to be marginal unless the Agency, reflecting the example of top management, is prepared to pay attention to the results of Center work completed.

4. Integrity of the Center

A. The value of the Center is not providing rationalizations for AID's program, either externally or internally. There are other more directly attuned elements of the agency (Office of Public Affairs, Legislative Affairs), which are more adept and attuned to performing this function. Thus, the use of the Center to justify the agency's work to any group of clients (most likely an external group or groups) is likely to be counterproductive in the longer term, as credibility will be lost, no matter what immediate positive effect it may have.

B. The Center, for whatever clientele it may serve, should act as a modernized version of the Imperial Chinese Censorate, whose function was to tell the emperor, (the client) when the policy or program was wrong as well as when it was right. Thus the Center should make recommendations that would advance the positive aspects of the agency's work and minimize its mistakes in the future. The implications of this approach are to suggest that the clients of the Center should not be any group to which the Agency wishes to convey a universally successful image. The search for success stories by the Center as a priority goal would thus teach the Agency little.

It would ratify the past, not analyze it, and not affect the future thus undercutting the rôle of the Center as a whole.

5. The Potential Clientele.

Having set forth some of the limitations under which the Center must realistically operate without extensive administrative reform, the potential clients of the Center may be listed.

A. These are perhaps eight general types of clientele for the Office as a whole. These are:

- 1) The Congress, congressional staff, General Accounting Office;
- 2) The Executive Branch, especially the State Department, White House/NSC, Agriculture, Treasury, Commerce; etc.
- 3) Academic institutions/scholars/students;
- 4) Private sector/consultants;
- 5) The public at large;
- 6) Developing nation institutions;
- 7) Other donors; public, private, multilateral, bilateral;
- 8) AID itself.

B. There is no logical necessity that each element of the Center need necessarily to have the same clients or the same priority of clientele, either sequentially or at the same time. The amalgamation of the components of Evaluation/DIU/economic analysis into one Center, whatever the internal logic or rationale, was never predicted

on necessarily serving the same personnel, nor should it be.

C. Since major staffing or funding changes presently seem unlikely, the clientele should in part be determined by the capacity of the Center to supply products or services effectively. For example, the servicing of academic institutions, as a priority focus, except for established information or data retrieval or occasional specialized services (such as staff lectures, etc.) is inherently limited by the constrained staff size, limited scope of fieldwork, and the non-academic nature of much of the material. Cost-effectiveness effectively prohibits clientele as the top priority from being drawn from many of the potential groups listed above, and candor excludes as the primary focus some of these same groups as well.

D. It is appropriate that different elements of the Center service some clients drawn from the above categories to some degree, but it is apparent that the primary institution to which the overall priority should be given is that of AID.

E. AID itself can be divided into five distinct categories of clients.

- 1). Senior/top AID management (Assistant Administrators and above);
- 2) Regional Bureaus/project planners/reviewers;
- 3) Central Bureaus - S&T/PAE/FPA, etc.;
- 4) PPC, especially PDPR; and
- 5) Field staff- project designers and evaluators.

There is no reason, depending on the Center's agenda, which is likely to be diversified in any case, that each of these elements cannot be served by some part of the Center to some degree, but this will depend in part on improved liaison and administrative arrangements to be made with each type of client. Without improved planning integration, and coordination, the best efforts of the Center will be ad hoc.

F. We have already seen the limited influence of the Center on policy because of timing, and the desultory nature of support to project planners. Other anomalies exist. Although regional bureau strategies/budgets are likely to anticipate expenditures, sole reliance on them as agenda-setting criteria are likely to produce emphasis on budget categories that maybe analytically questionable, even if they may accurately predict expenditure patterns two years hence. Occasionally this may work (e.g., irrigation), but the problem may not be in a sector (e.g., health), but in something more generic such as delivery systems that do not appear in budgets.

G. In conclusion, the first priority clientele should be AID, but that administrative and coordinating mechanisms must first be established depending on what part of AID one wishes to assist if this is to work, and that this clientele in AID may be both diverse at any one time and sequentially. Other clients may be assisted as appropriate for the individual elements of the Center and to ensure an adequate funding mix between operating and program accounts for Center activities. The choice of a single AID or non-AID focus would be inappropriate and stultifying, limiting the Center's potential to

*Who
bleeds?
Who
follows
up?*

both the Agency and development. In addition, sufficient staff and budgetary flexibility should be retained to respond to carefully selected priority needs as determined by top management as they are articulated or become apparent. The Center should also have the capacity to suggest to Agency clients needs they may not have realized. }

6. Agendas and Topics.

for inclusion in Center programs including D & S

A. The implications of the above approach are that any single item on the topical agenda should 1) have a clear audience (client) in mind; 2) be timed to have an effect when it is needed; 3) be capable of being carried out by the office; 4) be conceptualized in a manner so that it will produce future-oriented, useful information; and 5) be presented in a manner useable for its clientele.

B. The agenda should not be limited only to immediately perceived needs of any client or group, but their anticipated needs (which sometimes can better be assessed by an outsider from the Center) should be considered. Thus, what clients will need to know, in addition to what they now want, should be emphasized.

C. The products of the Center as a whole, such as library materials, statistical services, publications of all types, personal services, and training should all be considered as part of a mix of products and services that will provide cost-effective timely material to diverse clients when and in a manner conducive to their use and to the improvement of developmental activities. - Then what

D. Before the Center's organizational structure is finally determined, it might be useful to agree on the overall office functions, purposes, and goals, and the clientele who will be served, before setting the structure in.

Fi - / E

MEMORANDUM

February 23, 1984

TO: David Steinberg, PPC/E

THRU: Arnette Binnendijk, PPC/E-EASA

FROM: Ed DelaRosa, PPC/E-EASA

SUBJECT: EASA Clients and Products

As you requested, we have compiled a listing of our perception of EASA clients for the work group you are chairing.

Below you will find the key we used to identify our clients and in parenthesis in the priority we have assigned to each client. The client list used was developed at the retreat.

Clients

(1) 1. AID

- 1.a Technicians
- 1.b Project Designers
- 1.c Program Designers
- 1.d Policy Developers
- 1.e Evaluators
- 1.f AID Trainers
- 1.g OPA
- 1.h Front Lines
- 1.i Sector Working Group
- 1.j Other (Specify)

(4) 2. Universities

(4) 3. Research Institutions

(3) 4. Other country governments

(3) 5. Other donors

(5) 6. U.S. Public

(4) 7. Resource Centers (libraries)

(2) 8. AID Contractors/Consultants

(5/4) 9. LDC individuals/institutions

(3) 10. GAO-other U.S. government agencies (specify)

(3) 11. Congress

(4) 12. PVO

13. Other (Specify)

PRIORITY/RANKING

1 = highest

5 = lowest

ccs: PPC-E: Haven North
 Paula Goddard

CLIENTELE SURVEY OF EASA STAFF

EASA PRODUCT/SERVICE	EA CLIENTELE	SA CLIENTELE	PRIORITY (1,2,3,4,5)
<u>Statistical Reports</u>			
CP Data Pages		11(1), 1(2)	
620(s) Report to Congress		11(1), 1(2), 13-ACDA(3)	
ALLDATA Reports		1(1), 8(2), most other categories	(3-5)
Statistical Profile Series		" "	" "
Selected Statistical Data by Sex		" "	" "
Country Economic Abstracts		" "	" "
<u>Data Collection Methods Reports</u>			
Data Collection Activities and Implementation Instruments		1(1), 8(2)	
Directory of AID Funded Data Collection Activities		1(1), 8(2), most other categories	
Provision of statistical databases in machine-readable form and documentation		1(1), 10-Defense, State, USDA (2), 13-IICA (3), 2,3,4, & 5(4)	
Training & advisory services in usage of databases & analytical software		1(1), 8(2), 4 & 5(3), 2,3,10(4)	
Answering ad hoc requests for statistics & graphics		1(1)	
Technical review of project documents, policy papers, CDSSs, etc.		1(1)	
<u>Evaluation Syntheses Reports*</u>			
The Impact of Urban Development Projects upon the Urban Poor	1(1), 4 & 5(2), 2,3, 11(3), others (4)		
Experiences and Options in Wood Energy Projects	"		

* Future Products

Evaluation Syntheses Reports*

(Cont)

Project Sustainability: a Review of AID's experience	1(1),4 & 5 (2),2,3, 11(3),others (4)	
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Project Design Alternatives	"	
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The Impact of AID Projects upon the Status of Women	"	
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The Nutritional Impact of Food Supplement Programs	"	
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An Assessment of Evaluation and Data Collection Methodologies	"	
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Approaches to Policy Dialogue	"	
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Statistical Analysis Reports*

A Quantitative Assessment of Urbanization Trends		1(1) 4 & 5(2), 2,3,11(3), others (4)
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The Cost-Effectiveness of Family Planning Programs		"
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A Statistical Assessment of Progress in LDCs in Meeting BHN Objectives		"
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A Statistical Assessment of the External Debt Situation in LDCs		"
---	--	---

Statistical Projections of Food Consumption Needs in LDCs		"
--	--	---

* Future Products

EASA PRODUCT/SERVICE

EA CLIENTELE

SA CLIENTELE

PRIORITY
(1,2,3,4,5)

Impact Evaluation Summaries*

Irrigation	1- Sr. management (1) Project Designers (2)
Potable Water	"
Rural Electrification	"
Rural Roads	"
Agricultural Research	"

PL 480 Title I Food Aid	"
Education	"
Integrated Rural Development	"
Agricultural Services	"

* Future Products

3. DESCRIPTION OF PRODUCTS AND SERVICES
OF CDIE'S THREE DIVISIONS, INCL. DI

MEMORANDUM

February 23, 1984

*Ed
JWS
Copy*

TO: AAA/PPC, Haven North *ZDP*
FROM: PPC/E-EASA, Ed DelaRosa/Carol Bradford Ward *CBW*
SUBJECT: Report of CDIE Output Task Group

We submit the report of this task group as requested. We apologize for not having submitted the report earlier but other assignments have taken precedence. We hope you find the report useful and we are available for any clarification you may require.

We approached this task using the interview technique which was guided while at the same time structured loosely enough to allow interviewees to interject points of view not covered by the questions. We managed to interview 2-3 staff persons from each division and each interview lasted approximately one hour. We wish to thank the division heads for their cooperation and a special thanks to each staff member who took the time to speak with us.

Attached you will find the outputs/services of each division. We observed some issues which require elaboration and we respectfully allowed ourselves to make recommendations on each.

Mailing Lists

Both DI and Evaluation maintain a mailing for their respective outputs. We were not able to ascertain how frequently these lists were updated. Evaluation maintains, we were told, a basic mailing list of approximately 950 individuals or organizations. DI maintains a list of approximately individuals or organizations. We obviously did not have time to cross check the lists for duplication of names of individuals or organizations. We raise the issue of cross checking mailing lists because both DI (through CDSI) and Evaluation (Mary Power's shop) distribute impact evaluations. It is our understanding, however, that Mary Power's shop will cease to distribute impact evaluations when their current stock is diminished and will rely on CDSI to respond to requests for impact evaluations.

RECOMMENDATION(S)

The mailing lists should be updated and, if at all possible, centralized so that there is one central point for distribution of the office outputs. We should attempt to check with people/institutions on the mailing list to verify that they are still interested in receiving our outputs.

We do not have a specific recommendation on where and who should handle distribution but if financial resources permit, CDSI might be acceptable.

Printing and Mailing Cost

From what we were able to ascertain, the office does not have either a printing or a mailing budget. These functions are carried out either by AID or by contract. Several interviewees stated that, "we have never been turned down when we wanted something printed or mailed."

RECOMMENDATION

Rather hesitantly, we recommend that this be looked into. We say hesitantly because it does provide the office with what appears to be an unlimited resource. On the other hand, at sometime in the future we may have to account for our use of this resource and here we assume that someone somewhere is keeping track of this cost item.

Working Papers, Special Studies, Discussion Papers

This collection of documents represent a series started sometime in the past in the Evaluation Division. While in numbers not significant, it is unclear who determines and how it is determined, and for what purpose these papers are produced.

RECOMMENDATION

These outputs should be evaluated for their potential use to our office and others and if considered valuable, we should decide who is responsible/accountable for commissioning the papers, printing and distributing them, and for quality control. The working definition of each and the criteria to be used for commissioning these papers should be distributed to the office staff.

Feedback

Generally, but not in all cases, the office does not receive any feedback on the various outputs. We do not have a clear idea of how our products are being used or if they are being used by those on the mailing lists. We surmise that some of our outputs are being used in the classroom and available in libraries and that conclusion is reached only by a quick look at the mailing list.

RECOMMENDATION

We should consider sending a short check-list-type questionnaire to persons/institutions on our mailing lists at periodic intervals to find out how they are being used, by whom and for constructive criticism.

Curtailing certain outputs

In very few instances did we receive a strong recommendation to stop producing an output. Rather, almost universally, it was recommended that we should cut out some of our clients. This is especially true of parts of the DI division who are subjected to walk-ins, letters, telephone calls, etc. almost without end. We hasten to add that no one complained or didn't like what they were doing but it does interfere in responding to their major audiences (USAIDs, AID/W and consultants/contractors working with AID).

RECOMMENDATION

The David Steinberg task group on clients should be helpful in resolving this problem. Each division should be encouraged, with support from the director, to establish procedures for handling requests for assistance on a priority basis. Obviously there will be exceptions but as the resources of the Center become better known, we should expect more requests from the USAIDs which will require an ability to say no based on priorities and procedures.

The Birch & Davis Associates report was recommended as a good starting point for addressing this concern.

Looking Ahead

Both DI and EASA are projecting new products for the future. EASA, as part of its new mandate, will produce evaluation summaries and syntheses. Guidelines are being developed and some of these functions are already underway.

DI has been working and continues to have an interest in periodically publishing an acquisition list. They have been held back pending approval of the reorganization (they want to be able to use the new office name) and there have been discussions on the format. They have under consideration also the publishing of a Newsletter, an AID publication list, a Mission Librarian's Newsletter and monitoring the results of Specialized Research Centers (like the one proposed for the Philippines).

RECOMMENDATION

These new activities, especially those proposed by DI, should be adequately discussed and resolved. Part of the discussion should concentrate on the projected demand which may be created by these publications. While it may be difficult to anticipate the created demand, the assumption has to be made that these new activities will require additional staff resources to handle the increased demand.

EASA PRODUCTS & SERVICES



STATISTICAL REPORTS

Congressional Presentation Data Pages: These automated reports provide summary economic and social data for the AID assisted countries. The report is prepared annually for inclusion in AID's Congressional Presentation.

620(s) Report to Congress: This statistical report provides basic indicators and rankings of military expenditures in developing countries. The report is prepared annually for Congress, and is also considered by AID in the determination of foreign assistance allocation.

ALL DATA Reports: This series of automated reports are available for about 180 countries and contain time-series statistics available from the Economic and Social Data Bank for a given country. The report presents demographic, social, financial and economic statistics from World Bank and IMF sources. Plans are underway to expand report coverage of agricultural statistics from USDA sources.

Statistical Profile Series for AID Assisted Countries: This series presents data on sectors of priority concern to AID. Currently available are Indicators of Nutrition, Food and Agriculture. Additional reports are planned on Urbanization, Housing and Education.

Selected Statistical Data by Sex: This series of statistical reports are available for about 120 countries and offer economic and social data disaggregated by sex, age and rural-urban residence. The database was prepared by the U.S. Bureau of the Census for AID in order to facilitate a better understanding of the role of women in developing countries.

Country Economic Abstracts: These are available for AID Assisted countries and provide a summary of recent trends in major economic and financial indicators for each country.

Data Collection Methods Reports: This series of reports are intended to provide guidance, standards and inventories for Agency data collection activities.

ANALYTICAL REPORTS*

Summaries of Impact Evaluations will be a new series of reports aimed at synthesizing the major findings and lessons learned from completed Impact Evaluation sectors. These will be short, forward- and action-oriented reports for Agency management aimed at guiding future program and policy decisions.

Evaluation Synthesis Reports will be syntheses of evaluation and audit materials in the AID Development Information System and other existing sources, assessing AID experience in sectors, subsectors or in cross-cutting issues not covered by the impact evaluation series, but nevertheless of priority interest to the Agency.

Statistical Analysis Reports will utilize the statistical databases and quantitative methods to assess major socio-economic development progress and problems and to analyze the impacts of government and donor programs and policies upon these trends.

OTHER EASA PRODUCTS AND SERVICES

Statistical Databases in Machine-Readable Form and Documentation:

EASA has been increasingly called upon to provide copies of our Economic and Social Databases, or portions thereof, in machine-readable form such as tapes and microcomputer diskettes, with appropriate documentation. Continuing updates several times per year are provided to client organizations.

Ad Hoc Requests for Statistical Services: EASA continues to respond to ad hoc requests for statistical services including providing basic statistics available from the automated databank, tailor-made statistical reports, statistical calculations, graphics and analyses, and searching for statistics in non-automated sources.

Training and Advisory Services: EASA provides training in accessing statistics from the Economic and Social Databases and in the use of computer software to display and analyze the statistics.

Technical Review of Documents: EASA provides technical review services of Agency documents in areas of expertise. Documents reviewed include project design documents, policy papers, country development strategy statements, data collection, scopes of work, etc. A RSSA with the Bureau of the Census, Surveys and Evaluation Unit provides for technical review of project documents with data collection components by survey specialists.

Briefings: EASA provides briefings to various AID audiences informing these groups of the statistical and other services available to them through the Division. Brochures and other presentation materials are used in these briefings.

* Future publications

PPE PRODUCTS & SERVICES

EVALUATION REPORTS

Project Impact Evaluation Reports: The project evaluations in this series are based on fieldwork by an interdisciplinary team. They examine the intended and unintended impacts of AID funded projects in sectors or topical areas of priority interest to Agency management.

Lessons Learned: These products are short abstracts of the Project Impact Evaluation Reports.

Program Evaluation Discussion Papers: This series of reports provides background information and raises issues on a sector, subsector or area of concern in which AID has experience. Often prepared prior to undertaking fieldwork in an "impact evaluation" area, the Discussion Papers provide a critical examination of assumptions and practices in a sector in the context of the Agency's mandate.

Program Evaluation Reports: Reports in this series usually provide information on evaluations of entire programs, whether from an individual country, regional or Agency-wide perspective. This series includes the papers that are developed once project-level impact evaluations have been completed for a sector or topic and a synthesis of findings can be presented. The series also publishes the conclusions of Agency workshops on topical or sectoral areas, bringing together AID experience.

Special Studies: This is a series of occasional papers and reports produced by the office and elsewhere in the Agency that provide evaluative or other evidence that contributes to the Agency's knowledge of special projects or programs, such as the series on private sector development projects.

Working Papers: These are reports produced by the office staff or contractors that have not been published or widely disseminated. They frequently review AID experience on cross-cutting issues of concern, such as project implementation problems, effectiveness of cooperatives, capital-saving technology, etc.

Evaluation Methods Reports: This series provides methodological guidance, resource directories and bibliographies to support AID personnel in the evaluation of projects and programs.

OTHER PPE Products and Services

Technical Review of Documents: PPE provides technical and evaluative review of Agency documents in areas of expertise. Documents reviewed include project design documents, policy papers, evaluation plans, country development strategy statement, evaluation scopes of work, etc.

Other Technical and Financial Assistance: PPE also provides other selective services to regional and central bureau offices, such as participation on project evaluation teams, sharing costs and otherwise assisting in evaluations and conferences.

Monitoring of Agency Evaluations: PPE is the unit responsible for monitoring evaluations and evaluation processes throughout the Agency. This responsibility includes keeping track of the total number of evaluations done in any one fiscal year by both bureaus and missions, assessing the level of quality of evaluations done, making recommendations for their improvement, and suggesting needed research on their content and methodology.

Coordination with Other Evaluation Offices: PPE serves as a common point of liaison for central and regional bureau evaluation offices. This responsibility involves consultation on approaches proposed or used to evaluate specific categories of projects and programs, conducting workshops or meetings on evaluation methodologies, participation in reviews on project and program evaluations, and assisting in formulating scopes of work.

Conduct of Impact Evaluations: PPE plans and conducts impact evaluations in subject areas relevant to the projects and programs which the Agency has implemented. This responsibility includes defining the subject area or sector for purposes of evaluation and comparative analysis, determining criteria for selecting projects or programs for study, organizing teams to do the evaluations, organizing briefing workshops for the teams, critically reviewing team reports, overseeing the summarization of all team reports, organizing a conference at which all the findings, conclusions, and lessons pertaining to the sector, are presented for peer review, and overseeing the preparation of a final sector report.

Other Technical and Financial Assistance: PPE provides other selective services to regional and central bureau offices. PPE provides other services to AID/W bureaus and to USAID Missions, such as participation on project evaluation teams, advising on planned conferences, sharing costs of evaluations and conferences, responding to requests for advice on appropriate evaluation.

Monitoring of Project Design and Evaluation IQCs: PPE is the Division responsible (along with Contract Management) for the process of selecting and monitoring Design and Evaluation IQC contracts. This responsibility involves writing the scope of work for the RFPs, coordinating central and regional bureau technical reviews of contractor proposals, and monitoring selected contractors.

DI PRODUCTS & SERVICES

INFORMATION, REFERENCE AND RESEARCH SERVICES

AID Technical and Project Documents: The DI Division provides, upon request, copies of specific AID technical and research reports produced by AID or AID contractors, and also copies of AID project documents and evaluation reports. Copies are available in microfiche or paper copy form.

Non-AID Documents: The Division also provides requestors with Non-AID development-related books and journals available in the Development Information Center library collection, in the microfiche collections, through inter-library loan service, or by acquisition through purchase of the document.

AID Project and Document Abstracts: Summaries of AID projects and of AID project, evaluation, technical and research documents are available upon request from the Development Information System.

Technical Information: Through searches of the Non-AID technical databases available to AID, such as databases from commercial vendors (Lockheed DIALOG, BRS, SCD's ORBIT), from the National Library of Medicine and the Department of Energy. Annotated bibliographies are provided to requestors based upon searches and other publications cited in the searches are also obtained at the request of the user.

Agricultural Information: Under an Agency RSSA with USDA, AID requests for specific agricultural information receives detailed response, including searches for relevant materials from the National Library of Agriculture, from the land-grant international agricultural research community and Department of Agriculture specialists.

Compilations of AID and Other Donor Project and Program Experience: DI performs indepth research or synthesis services for individual AID clients. These services involve detailed searches of databases, selection of relevant materials, and synopsis of experience on specific projects, programs or technical and research topics identified by the client.

Other Reference Services: DI answers general questions about AID's history and policies, and makes referrals to other sources of information within or outside of AID.

Microcomputer-based Development Information System: Microcomputer-based on-line cataloging, search and retrieval system.

Micrographics: Microfiche duplication - standing orders for microfiche collection.

OUTREACH PRODUCTS & SERVICES

AID Research and Development Abstracts: ARDA is a quarterly outreach publication which presents abstracts of AID-funded research studies, state-of-the-art reports, sector analyses, special evaluation and other development documents.

Bulk Distribution of AID Publications: DI distributes in bulk numerous AID documents, including ARDA, population materials, impact evaluations, and other special series of publications such as Water for the World, RTAC documents, etc.

AID Document Distribution System: DI maintains and operates ADDS which is used to generate mailing lists and labels for the distribution of numerous AID newsletters, publications and other materials.

Selected Bibliographies: Brief subject-specific bibliographies are generated periodically from the DIS database and disseminated to appropriate audiences.

OTHER DI PRODUCTS AND SERVICES

Technical Assistance: Assistance is provided to USAID missions in establishing development information resource centers, in improving their document collections, and in using automated technologies and methodologies to improve their access to development information.

Training: DI provides training to AID/W staff on MINISIS, DI Information System, on-line commercial bibliographic systems directly accessing the automated Development Information System.

Briefings: DI provides briefings to groups in AID and other development agencies informing them of the types of information reference and research services available through DI. Brochures and other materials are available for presentation and handouts.

Another way of stating products & services of
DI

REFERENCE AND RESEARCH SERVICES
DEVELOPMENT INFORMATION DIVISION

Services Designed to Foster the Use of Project Experiential Information:

Syntheses of AID and Other Donor Project and Program Experience.

In response to AID requesters, DI can perform indepth informational synthesis services. These services involve detailed searches of DI's project information resources (DI's databases, the ^{other} Development Information Center (DIC) collection, and ^{AID} appropriate ~~non-DI~~ sources). Through use of these resources, relevant materials are selected and a synopsis of experience is developed.

Development and Searching of DI's Projects and Documents

Databases. DI has developed and continues to manage specialized databases which provide summaries of AID project activities and abstracts of project documents. Searches of these data bases are done upon request.

Training AID Personnel to Use DI's Databases. DI will provide training to AID personnel who wish to directly access DI's databases. Emphasis has been placed on training personnel who are involved in project design and evaluation activities.

Ad Hoc Delivery of Project Documents. Project reports cited in DI's databases are available for on-demand delivery to requesters in microfiche or photocopied paper formats.

Services Designed to Foster the Use of and Transfer of Sound Technical Information:

Agricultural Information. Through a DI RSSA with USDA, AID requests for technical information of an agricultural nature are answered. Resources drawn upon include AID sources, the Land Grant and international agricultural research communities, the private sector, and USDA specialists.

AID Technical Information. AID-sponsored technical reports have been indexed and selectively abstracted in DI's Documents Database. Searches for technical reports are conducted at the request of users.

Ad Hoc Delivery of Technical Reports. Technical reports cited in DI's Document Data Base are available for on-demand delivery to requesters in microfiche or photocopied paper formats.

Non-AID Technical Materials. DI can search many non-AID automated sources for current technical information and reports. Sources used include commercial and government-sponsored databases. Individual databases often searched include the National Library of Medicine's, the Department of Energy's, and the National Technical Information Services' data bases. At the request of users, items cited in the searches are obtained.

Services Designed to Foster the Use of AID and DI Information Handling Technologies and Programs.

ADDS Mailing List. A by-product of DI's ARDA publication, is the computerized mailing list, ADDS. ADDS addresses can be accessed by geographic area and by recipients' subject concerns. AID offices can use the ADDS mailing list to distribute their publications to specialized audiences.

Micrographics Services. DI can provide guidance to AID offices which wish to microfiche or microfilm their reports. DI will assist offices in entering micrographic services agreements with DI's technical processing contractor.

Briefings on DI's Services. DI provides briefings to AID groups. These briefings offer the opportunity for DI to tell potential users about its services and to stress the importance of user support and feedback. Brochures and other materials are available for presentation and handouts.

Technical Assistance in Developing Mission Information Resource Centers. DI provides assistance to USAIDs and LDC institutions in developing information resources centers and in using automated and micrographic technologies to improve their access to AID's development information resources.

Other Important DI Services:

The A.I.D. Development Information Center. One of DI's major services arm is the Development Information Center. The Center provides access to AID and non-AID development related information (the Center's collection, DI's databases, *and* non-AID databases). The Center's staff provides reference and referral services in response to a wide variety of inquiries. ∴

DIC Interlibrary Loan Services. In addition to direct access to the materials retained by the Center, the DIC will secure at the request of AID users relevant books and journals through either interlibrary loan or through DI's purchasing mechanisms. In addition to direct access to the materials already retained by the Center, DI will secure at the request of AID users relevant books and journals through either interlibrary loan or through purchasing mechanisms.

A.I.D. Development Abstracts (ARDA). DI publishes ARDA, a quarterly AID publications announcement journal. 150 selective AID reports are abstracted in each issue of ARDA. All reports cited are available from DI in microfiche or paper copy formats. ARDA is distributed on a world-wide basis to both AID and LDC institutes.

4. CURRENT 'OBJECTIVES/ACCOMPLISHMENTS'
OF DI DIVISION (OVER LAST 18 MO)

FILE
Operating
Expense Budget

MAY 9 1984

MEMORANDUM

TO : PPC/EMS, Ms. Mary Love
FROM : AAA/PPC/E-DIU, W. Haven North
SUBJECT: Operating Expense Funds for AID's Information
Technology Systems

In our meeting with Cathy Smith, IRM, we discussed in some detail the various requirements and categories for services for inclusion in the IRM OE budget for FY 1985 and 1986. As a backdrop to our specific requests, it is useful to bear in mind the following:

- The development of CDIE as an integrated unit with the recasting of functions and orientation laid out in the functional statement.
- CDIE's physical and operational separation from other PPC offices though within PPC organization.
- The increased emphasis on dissemination of development experience information, statistics and evaluation findings and the concomitant decentralization of AID staff access to this information in the Bureaus, Missions and in some LDC institutions.
- The plan to move CDIE staff into one contiguous office setting appropriate for CDIE functions, probably in FY 1985.
- An increase in the volume of AID requests for CDIE information.

As a consequence of the above, we will need assistance to help us prepare a well thought out integrated automated information system within CDIE and its linkage with the Agency staff in the Bureaus and in the Missions.

We can elaborate more fully on the various items in the attached budget outline after you've had an opportunity to review it.

Attachment
Budget Outline

cc:
IRM:CSmith
PPC/E/ESDS:ABinnendijk
PPC/E-DIU-DI:MBrown
PPC/E-DIU:SMalone
DAAA/PPC/E-DIU:PGoddard
AAA/PPC/E-DIU:WHNorth:dmb:5/9/84

OFFICE OBJECTIVES

DEVELOPMENT INFORMATION DIVISION

LONG-TERM GOALS

Program:

1. Provide the Agency with an "institutional memory."
2. Provide efficient information services to AID staff and organizations involved in its bilateral programs.
3. Promote utilization of information and related technologies in the Agency's programming process.
4. Expand information resources by networking with international, national, and private development assistance organizations.

Administrative:

1. Maintain a highly qualified staff.
2. Improve individual unit productivity.
3. Maintain efficient contract management to properly utilize financial resources.

IMMEDIATE OBJECTIVES

DEVELOPMENT INFORMATION DIVISION

1. Increase our ability to provide relevant information to our clientele through more efficient, timely, and useful mechanisms.
 - A. Continue to modernize our DIC library systems.
 - Automate the card catalog
 - Design an automated loan circulation system
 - Design a public access system to replace the card catalog
 - B. Selectively expand our access to additional development information resources.
 - Incorporate the IDRC data base
 - Acquire TAICH data base and provide for its continued maintenance
 - Expand interaction with the World Bank to negotiate future exchange agreements
 - Establish UNDP Project Listing Data Base
 - Negotiate with FAO to acquire automated access to the AGRIS collection
 - Establish UN/International Economic and Social Affairs Data Base
 - C. Re-establish an Analytic Response Capability, particularly to inquiries concerning project design, development, and evaluation.
 - D. Expand and improve our USDA/OICD RSSA Technical Inquiry Service Program.
 - Add agricultural economics/marketing expertise through the hiring of an additional staff member
 - More closely integrate the efforts of the TIC with those of the Division
 - Train the TIS staff in the use of the MINISIS system

2. Provide AID with an institutional memory through expanded and improved acquisition/microfilming/data base development programs.

A. Complete the Project Data Base.

- Acquire 400 additional project design documents
- Begin entering PIDs into the data base
- Implement a system to effectively track project documents

B. Complete the Technical Reports Data Base.

- Identify and acquire missing contract reports
- Modify AID contract language to insure receipt of contractor reports

C. Complete microfilming of retrospective official project files for the regional bureaus.

- Complete NE and LAC microfilming exercise
- Complete SER/CM microfilming exercise

3. Expand and improve outreach and awareness programs.

A. Create and disseminate more timely information products.

- Distribute 4 issues per year of ARDA using photo-composition techniques to reduce costs
- Complete 1st subscription drive for ARDA in order to recover costs
- Produce Vol. 3 of Catalog of Research Literature for Development
- Produce new acquisitions newsletter
- Produce new Project Experience Newsletter
- Produce subject specific bibliographies

B. Promote Division information services within AID.

- Provide a more extensive briefing program in AID/W
- Arrange for briefing of mission employees visiting AID/W
- Arrange for briefing of AID contractors prior to their going overseas

4. Promote fuller utilization of the Development Information System.
 - A. Create self-sufficient units within AID/W and USAIDs
 - Pilot application at USAID/Manila and the Africa Bureau
 - B. Transfer the DIS technology and data base to LDC institutions in order to provide support to USAIDs as well as to utilize the technical reports within the country.
 - C. Develop training workshops and materials, such as user manuals.
 - D. Increase Division participation in the project review process.
 - E. Simplify access to the system.
 - Complete development of the DIS Thesaurus
5. Increase the backstopping level of technical assistance in the field of library and information management.
 - A. Respond to Mission requests for assistance.
 - Select IQC firms for quick response
 - B. Send cables to USAIDs offering assistance at Mission expense.
 - C. Survey current and proposed AID projects to identify major information activities and components.
 - D. Provide additional support to other AID libraries, such as WID and Training Library.
6. Develop a coordinated approach in the use of cost-effective information technologies as tools in support of DI's programs.
 - A. Complete development of an AID Thesaurus.
 - B. Complete DIS model under MINISIS.
 - C. Develop a microcomputer-based DIS.
 - D. Investigate new technologies.
 - Optical laser discs
 - Telecommunications via satellite
 - E. Increase participation in various MINISIS user groups.

7. Continue to improve internal management of our operations.
 - A. Develop user feedback mechanisms.
 - B. Complete development of internal control system.
 - C. Provide for the analysis and evaluation of user feedback and utilization statistics.
 - D. Increase levels of staff training.
 - E. Provide a more coordinated approach to the preparation of office budgets.

FY 1985 CONGRESSIONAL PRESENTATION

OBJECTIVES OF A.I.D. DEVELOPMENT INFORMATION PROGRAM

1. Provide AID management, policy makers, program planners, researchers, project designers, evaluators, and technicians with an Agency "institutional memory."
2. Promote the use of development experience and technical information by AID and developing country institutions as an integral tool to improve the quality and effectiveness of development assistance program activities.

OBJECTIVES OF PPC/E-DIU/DI

1. Improve information services to AID staff and organizations involved in AID's development assistance programs.
2. Increase the utilization of information and related technologies in the Agency's and host country counterpart institution's programming, implementation and evaluation processes.
3. Expand information resources through increased networking with international, national and private development assistance organizations.

FY 1983 ACCOMPLISHMENTS

1. In response to the GAO report entitled "Experience -- A Potential Tool for Improving U.S. Assistance Abroad," a major reorganization was completed which moved the Development Information and Utilization (DIU) unit from the Science and Technology (S&T) Bureau to the Program and Policy Coordination (PPC) Bureau. The reorganization will strengthen the acquisition, analysis, awareness, and use of development experience information by AID staff.
2. The project description coverage of AID development experience in the Development Information System (DIS), the Agency's automated institutional memory system, was improved from 65% of all AID projects (active in 1974 or since) to 90% coverage.
3. The AID development experience document and report collection in the Development Information Center, the Agency's institutional memory library, was reorganized and consolidated into one library site permitting improved management and access to the collection.

FY 1983 ACCOMPLISHMENTS (continued)

4. A Development Information System (DIS) user training program was initiated with the AID geographic bureau personnel to increase AID staff use and awareness of experiential "lessons learned" information in the Agency's program activities.

5. An analytic/research unit was established to provide an information analysis capability to assist AID project designers, evaluators, technicians and program managers.

6. Extensive briefing was provided to the Asia and Near East bureaus on the AID Development Information Program, and particularly the application of development experience information in project design, evaluation and research.

7. The redesign and conversion of the Development Information System (DIS) from operation on an expensive, large-scale, shared-system, mainframe computer to a low-cost, dedicated mini-computer was completed, providing DIS users with more responsive and useful development experience information feedback.

PLANNED INFORMATION ACTIVITIES

Information services to our clientele will be improved by providing more relevant information and using more efficient and effective mechanisms:

- The library support systems will be streamlined and modernized including the automation of the card catalog, a loan circulation system and a public access system to replace the card catalog.
- An "Analytic Response Capability" will be further developed and maintained to provide tailored, synthesized information packages in response to inquiries concerning development program planning, project design, evaluation and research.
- The Agricultural Technical Inquiry Service program will be expanded and improved through additional technical staff and closer integration with the objectives of the development information program.
- The AID institutional memory coverage will be improved through the completion of the regional bureau official project file microfilming activity, the inclusion of project identification documents (PIDs), and the implementation of formalized acquisition procedures to obtain missing project documentation and technical reports.

PLANNED INFORMATION ACTIVITIES (continued)

- The internal management of information service functions will be improved through the development of an internal control system for monitoring, analyzing and statistical reporting of information service requests, development of a user feedback mechanism for evaluation of information services, increased level of staff training on information systems and resources and a coordinated approach to the preparation of office budgets.

The utilization of information and related technologies will be improved through more effective outreach programs, additional technical assistance backstopping, the transfer of the AID institutional memory, and the development and implementation of information storage and retrieval methodologies and technologies in AID offices, missions and developing country institutions.

- The outreach and current awareness programs will be expanded and improved to create and disseminate more timely, cost-effective and better-targeted information products in the areas of document acquisition, development project experience, and research and development.
- The utilization of the Agency's automated institutional memory system, the Development Information System (DIS), will be promoted through the creation of self-sufficient information resource units within AID bureaus and missions, the transfer of the DIS institutional memory to those units and developing country institutions, the development of training workshops and user aid support materials for DIS, and the integration of the institutional memory system into the Agency project review process.
- The level of technical assistance backstopping will be increased to respond to AID bureau and mission requests for technical assistance in the field of library and information management.
- A coordinated approach in the use of cost-effective information processing methodologies and technologies as tools in support of the AID development information program will be developed including an AID Development Thesaurus, database models for development information systems, and a minicomputer- and microcomputer-based DIS system. New information-related technologies will also be investigated for future use including optical laser and video discs, computer output microfilm, satellite telecommunications and alternative minicomputer and microcomputer database management software.

PLANNED INFORMATION ACTIVITIES (continued)

- Additional information resources will be selectively acquired through networking with other development assistance organizations. Exchange agreements with international organizations such as the World Bank, United Nations Development Program, and the International Development Research Center, and national organizations such as the Canada International Development Agency, and the German Gesellschaft fur Technische Zusammenarbeit will be established and maintained to acquire additional technical and development experience information for use by A.I.D. staff in program planning, implementation, research and evaluation.

PPC/EDIS BRIEFING BOOK

7/30/83 2

INFORMATION DIVISION

a. Existing Commitments - 6 Month Period

1. USAID/Islamabad TDY. At the request of the Islamabad Mission, Joanne Paskar will be available for a four-week TDY in late September/early October. Technical assistance to be provided will include: a survey of the Mission's information/library practices and needs and an investigation into what mutually beneficial cooperative efforts could be instituted between the Mission and PPC/EDIS/I. A second follow-up/implementation trip is envisioned for early 1984.
2. MINISIS Users Group Conference. Lee White will be attending this conference in the Netherlands, October 24-28, 1983. He will present a paper on the AID Development Information System, discuss possible database exchange with other MINISIS users, investigate the MINISIS library loan circulation system being developed by the Agricultural University, Netherlands for potential use in the PPC/EDIS/I Library, and begin to set the stage for an October, 1985 Minisis Users Group Conference, to be held in Washington, D.C.

b. Actions Underway to Consolidate/Catalog the A.I.D. Library in RPC.

Prior to July 1983, EDIS/I operated two information centers: the Main Development Information Center (DIC) in Main State and the Rosslyn Branch DIC in RPC. The Main DIC occupied app. 1600 sq. feet. The Rosslyn Branch occupies app. 2400 sq. ft. The two centers differed in collection emphasis: the State DIC specialized in A.I.D. institutional and program materials while the Rosslyn Center collected technical and reference reports and journals.

With the loss of the space previously used to house the Main State DIC, PPC/EDIS has begun the consolidation of the two centers. The steps involved in the consolidation of the resources of the two centers previously housed in 4,000 sq. ft. but now housed in 2400 sq. ft. are as follows:

1. Consolidation of the two Centers' Cataloged non-reference collection - 70,000 titles from the Main State DIC and 1500 titles from the Rosslyn Center. (This activity has been completed.)
2. Consolidation of the two Centers' program materials - CDSS', ABS', CP's, etc. (This activity has been completed.)

In order to preserve the integrity of and increase access to this very important collection of program materials, the collection should be microfilmed and input into EDIS/I's automated retrieval system. EDIS/I will investigate the costs of filming these materials. No funds however are now available for this proposed activity.

3. The consolidation, updating, and cataloging of the Centers' reference collection - app. 500 titles. (This activity has begun and will continue over the next three months.)
4. The weeding of the consolidated Center's cataloged non-reference collection. Presently there is little room for growth in the Center. In order to provide some flexibility, the Center's collection will be weeded. Amongst the items to be disposed of are outdated materials, materials no longer relevant to users' needs, and excess paper copies of A.I.D. items which have been microfiched. This effort will provide only a temporary solution - it is estimated that the Rossslyn Center will outgrow its space within one year. (This activity will begin in August. It will probably take 6 months to complete.)
5. Updating and weeding of the Center's card catalog. This is an activity which must accompany the "physical" weeding of the collection. It will be given priority status and must be completed prior to the automation of the card catalog. (This activity, in conjunction with the physical weeding of the collection, should take app. 6 months.)
6. Selection and processing/cataloging of the Main State and Rossslyn uncataloged non-reference materials. In EDIS/I's warehousing facilities, the Centers have been storing innumerable (in the hundreds) boxes of materials, A.I.D. and non-A.I.D., which contain possible candidates for processing. The contents of these boxes must be reviewed for selection, processing, and disposal. (This activity has begun. The Center's staff recently reviewed app. 150 boxes that were sent to the warehouse during the July move. It is difficult to estimate a firm completion date for this activity - one year for review/selection and processing is a rough estimate. Funds will be available for the processing of app. 5000 titles if PPC/EDIS requested budget levels are approved. If the items selected for retention exceed this volume, delays in processing will occur.
7. The weeding and updating of the center's serial/journal collection. (This activity will begin in August and should continue for app. 3 months.)
8. Consolidation of the Centers' uncataloged other donor materials - program materials generated by such institutions as the World Bank, FAO, OECD etc. (This activity will begin in September and will continue for app. 1 month.)
9. Processing/Cataloging of selected technical and economic reporting materials produced by other Donor organizations. (This activity will begin in October and should continue for app. 3 months.) We will also investigate the possibility of developing bibliographic data base exchanges with such organizations in order to lessen our original cataloging requirements for these materials.

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just starting
in 5/84

?
Completed
6/84

why uncataloged?

?
stated

10. The consolidation of EDIS/I's DIS project files. The project materials microfiched and processed by DIU's contractor are presently warehoused by the contractor. These documents which serve as the basis of our project-experiential data base are being returned to and consolidated by the Center's staff for easy access by users. 72 boxes of project reports have been returned already. The items in these boxes are arranged by project number. Still to be returned are those items which have been processed by the contractor during the last year. These reports are presently maintained by the contractor in "publication number" order. These two collections will be collated by project number by Center staff. (A completion date for the consolidation of this collection has not been established. Funding for the procurement of equipment to house this collection must be obtained.)

No longer

11. The inventory and processing of the Center's collection of classified reports. The Center has 19 safes containing classified and sensitive materials. Amongst the types of materials kept in these safes are classified CPs, ABS', CDSS'; classified A.I.D. reports; and sensitive debriefing reports. Some of these materials have been cataloged and/or fiched. Most of the materials however are uncataloged and unfiled. In order to increase access and use of these materials, EDIS/I is preparing to inventory, weed, process, and film these materials. Problems involved in this activity - a) there are no funds available for this effort; and b) EDIS/I's contractor is not cleared for the filming and processing of classified materials. (Estimated starting date - October. Completion date will depend on the availability of funding and the availability of a cleared contractor.)

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still ?

12. Selective processing of EDIS/I's collection of RTAC materials. The Regional Technical Aids Center (RTAC) was an AID-sponsored clearinghouse for Spanish-language materials. It was located in Mexico City. It was closed circa 1976-77. EDIS/I has approximately 300 boxes of RTAC materials stored in our contractor's warehouse. The RTAC collection consists of two types of materials: American textbooks translated into Spanish and "appropriate technology-type" materials produced by A.I.D. and other U.S. government agencies in Spanish. There is a demand for these "how to" materials. EDIS/I feels that it would be a worthwhile effort to review the RTAC boxes and remove the "how to" materials for possible future processing. However, there presently are no funds available for the processing of these materials. EDIS/I will approach the Latin American Bureau and discuss the disposition or retention of the collection of translated textbooks. (This activity could begin around January 1984. A final completion date cannot be estimated at this time.)

copy 3
HTIS ?

13. Shelf-Cataloging of MINISIS-entered A.I.D. materials. There are app. 3000 A.I.D.-sponsored reports which have recently been indexed into EDIS/I's automated retrieval system. In order to allow the Center to retain in paper copy selected items from this group, a Dewey Decimal Classification number must be assigned to the reports and entered into the system. (This effort will begin in September and will continue for app. 6 months.)

c. Future Options for Library Modernization & Outreach

Modernization Efforts.

1. The most obvious avenue for library modernization lies in automation. The Center already relies heavily upon automated systems, both A.I.D. and non-A.I.D. for the retrieval of information. EDIS/I's automation activities are more thoroughly described later in this section. However, one project of note which directly impacts on the Center will be discussed here. That activity is the proposed automation of the Center's circulation system.

Presently the Center's circulation system is totally manual. It is a time-consuming and labor-intensive operation. Automation of the system would allow for a more efficient operation. Most importantly, this system could provide the basis of a "management information" system. Data on who uses the Center's collection and what is being used can routinely be derived from the system. Such information would be invaluable in "collection/selection" and outreach activities.

EDIS/I is presently examining the options for automating the circulation system. A circulation program based on the MINISIS system is currently available on an experimental basis. This program was developed by the Agricultural University of the Netherlands, Wageningen. Lee White, EDIS/I will be traveling to Wageningen in October to discuss the progress of this new system with its developers.

Options for automation include: a) use of the new MINISIS program; b) the purchase of one of the many commercially available circulation systems; and c) the design of a circulation system by EDIS/I, itself. The last two options would require the acquisition of a microcomputer by the Center.

2. Other library modernization options include: (a) Automation of the Development Information Center manual cardex system for serials control with the acquisition of a microcomputer and appropriate software. (b) Application of barcode technology for use in conjunction with library circulation control system. Barcodes would be used to identify library users and documents. (c) Replacement of two existing Online Computer Library Center(OCLC) terminals with specially designed IBM Personal Computer-OCLC microcomputers, capable of performing normal OCLC acquisitions, cataloging, and interlibrary loan functions, and operating as a stand-alone microcomputer performing library information processing functions. (d) Establishment of a MINISIS exchange agreement database for use by PPC/EDIS/I and the AID-Document and Information Handling Facility in processing information requests from organizations with which we have established exchange agreements.

Outreach Programs.

Because of inadequate funds, staffing, and mechanisms, EDIS/I's Center has been unable to adequately conduct extensive outreach activities. This admittedly has been a major flaw in the Center's overall program. With the closing of the Main State DIC, outreach activities are no longer just desirable, they are of the utmost importance.

The Center's present outreach programs are:

1. Current Contents. *Cancelled.* Current Contents (CC) is a commercially-operated current awareness program which the Center makes available to Agency employees, primarily Agency technical specialists. Through this service, users can keep abreast of what is being published in their field in journal literature.
2. AID-UPDATE Service. Through a RSSA agreement with the USDA, the National Agricultural Library provides a computerized selective dissemination of information service to A.I.D. agricultural specialists. Using a user's informational needs profile, the AID-UPDATE staff regularly searches appropriate computerized informational data bases for items of interest to the user. The results of these searches are automatically sent to the user.
3. AID Research and Development Abstracts(ARDA). A quarterly abstract journal published to transfer development and technical information to active practitioners in development assistance. ARDA's target audience includes AID staff worldwide and 5,000 key government, university, library, and research institutions in developing countries. ARDA presents AID-generated and AID-funded research studies, state-of-the-art reports, sector analyses, special evaluations, and other documents which describe international development experience.

The proposed outreach activities to be undertaken by EDIS/I and the Center are:

1. The distribution throughout the Agency of "acquisition/current awareness" lists and special bibliographies. Such products could lead to the growth of a more informed and interested Agency-user group.
2. Increase the scope of the Center's selected dissemination of information (SDI) products to include the distribution of regularly scheduled MINISIS-generated listings of reports "tailored" according to users' and Mission information needs. (PID, ABCs & CES. usual.)
3. A.I.D. has an infamous reputation for the proliferation of Agency libraries and information centers/pockets. This splintering of library resources often results in costly duplicative collections, confused users, and harried EDIS/I librarians who have to help "train" new Agency librarians.

In order for the Agency to use its informational resources more effectively and cost-efficiently, closer coordination and/or consolidation of AID/W libraries is necessary. Amongst the various options are: a) the use of one central automated retrieval system for all collections; b) the consolidation of the various collections into one operation - a National Library on Development; and c) allowing the proliferation to continue. Options "a" and "b", course, raise various problems and issues - funding problems, space problems, and bureaucratic questions of autonomy. The coordination/consolidation question is an issue which may have to be ultimately addressed and decided upon at levels higher than EDIS.

4. EDIS/I has traditionally worked closely with Missions in the development of Mission libraries and information centers. This assistance has taken various forms: TDY assignments by EDIS/I personnel; long-distance assistance via cables and memos; and consultations with Mission librarians in AID/W.

EDIS/I however has been hampered in this assistance area by many factors. There has always been too little time, too little money, and too few people. The most damaging drawback has been the lack of a finalized information program (a package containing a thesaurus, classification scheme, retrieval system, equipment scheme, etc.) which could be transferred to the Missions by EDIS/I. This problem is presently being addressed by (1) the construction of an A.I.D. thesaurus which should be completed by December of 1983, and (2) the development of micro- and mini-computer-based hardware/software support packages to be used to transfer the Development Information System to USAID missions and developing country institutions.

5. An organization which relies solely upon itself for information risks stagnation. EDIS/I and its Center can serve as an information gatekeeper between A.I.D. employees and other information centers and libraries. The Center's staff have many informal working relationships with other relevant centers. Many formalized publications exchange agreements have been established. EDIS/I's first formal "data base system" exchange agreement was concluded earlier this year and will be implemented in October. At that time, EDIS/I and the International Development Research Centre (IDRC) will exchange their technical information data bases. This year EDIS/I will investigate the feasibility of AID and the World Bank providing access to each others library and project information systems. Like EDIS/I and IDRC, the Bank utilizes MINISIS. Access to the Bank's system will open up a valuable resource to A.I.D.
6. Exchange agreements with other MINISIS users from developing countries will be investigated at the MINISIS users group meeting in the Netherlands in October, 1983.
7. EDIS/I has acquired the UN/IESA 's (International Economic and Social Affairs) "DIS" data base system. We are preparing to include this file as a new and separate data base in EDIS/I's MINISIS system.
8. EDSI/I is investigating the possibility of exchanging descriptive project information with UNDP and establishing this data as a separate file in EDIS/I's MINISIS system.

Increasing the Use of the Databases and/or Upgrading their Usefulness - Options

1. Selected Dissemination of Information(SDI) - Establish User and Institutional subject/geographical interest profiles for dissemination of DIS system project experiential and technical information, and ESDB economic and social statistical information. The DIS system would use the MINISIS (Minicomputer Integrated Set of Information Systems) SDI software to be released by the International Development Research Centre in September, 1983 with MINISIS Version F. SDI profiles for ESDB information and the generation of ESDB statistical tapes and floppy diskettes would be accomplished through a combination of AID computer system procedures which would create and process against pre-stored "user standing orders" to disseminate statistical information.
2. AID Development Thesaurus - Complete the AID thesaurus by December, 1983 as the standard information tool to be used by AID bibliographic and project information systems for subject and geographic indexing and retrieval of AID-generated and AID-funded program, project, technical, research and evaluation information. Extensive use of this tool by USAID missions and AID/W offices to organize their development information collections, through a manual or automated system, will insure compatability in the classification, cataloging, and indexing of AID and non-AID documentation in the field and AID/W.
3. Conversion of DIS, RANDD, and Library of Congress subject and geographic descriptors to new equivalent AID Thesaurus terms. Once completed, this will permit AID staff to access the DIS system with the unified AID thesaurus terminology. Also, the MINISIS On-line Thesaurus retrieval capability can be used to perform broader, narrower, or related descriptor term search and retrieval in the new DIS system.
4. Reorganization and Reformatting of Reports - Production reports for DIS and ESDB should be re-designed for easier use by the end-user. All reports would contain instruction pages describing "how to read this report", assumptions made by the report, a form page to accomodate additional written comments about the report by the USDA Graduate School researcher, a user information request form, a report evaluation form, and a report title page which documents the title of the request, the requestor, and the AID staff member who prepared the report. Project and document reports from DIS might include a subject/geographic index for very long reports. All reports would include a table of contents after the title page which would guide the user to the location of each of the various sections mentioned above. All reports would be reviewed for easy "readability" by the user.

5. DIS Report Analysis and Expansion - Project experience reports would include a series of simple statistical analyses of the AID projects which were selected for inclusion in the report. Simple bar charts and graphs, and eventually pie charts will be produced to make long DIS project experiential reports easier to digest. DIS reports will eventually be modified to include other donor project experience.

6. Combined DIS and ESDB Report Information - DIS country or sector specific project experience reports would include ESDB country or sector statistics which could be used by the end user to study relative impact by AID projects on specific development problem areas such as birth rates, mortality rates, literacy, education, etc. ESDB report information could be re-organized into pre-formatted textual situation reports which would contain pre-analysis of statistical data presented in a development sector format which could be easily understood by AID staff. Some of this information could also be displayed in graphical format.

7. Automate Card Catalog - Presently, 70,000 documents located in the Development Information Center are accessible through the card catalog only. The conversion of the bibliographic and catalog information contained on the DIC card catalog shelf list to the DIS system would provide on-line access to all PPC/EDIS document holdings, by author, title, subject, country, corporate author, etc. This would enable anyone with a computer terminal in AID/W to search our entire information collection. Database-generated publications would also include more comprehensive coverage. The database transfer activity to USAID missions would include bibliographic references to all PPC/EDIS document holdings.

8. Expand coverage of the DIS system database - (a) Add 70,000 DIC bibliographic document records. (b) Include project descriptive information for "planned" projects from ABS, CP, and PID document sources. (c) Expand "project authority file" database to include both historical pre-1974 project records and planned, e.g. FY84 and FY85, project records. (d) Create a knowledgeable institutions database by extracting information from the Contract On-line Reporting System(COORS) to be used as a base, supplemented by DIS and BIFAD's Registry of Institutional Resources(RIR) system. (e) Enlarge scope of DIS project experiential database to include other donor, e.g. World Bank, UNDP, and PVO project information obtained from external sources. (f) Acquire additional pertinent research and development information by establishing exchange agreements with other MINISIS/ISIS/AGRIS database sources, e.g. IDRC(Fall 1983), GTZ(German AID organization), FAO, and Agricultural University, Netherlands.

9. Document Selection and Acquisition Improvements - (a) Establish a database model linking geographic bureau official project file document databases with DIS document databases for improved selection and acquisition of AID project design, implementation, and evaluation reports. (b) Link PPC/E mini-program evaluation performance database with DIS document database for improved acquisitions of evaluation documents. (c) Establish publications guidelines for AID internal and AID-funded documentation, reports, and studies. This would include a style manual, instructions on report title page identification, and guidelines for bibliographic input sheet preparation for the DIS system. These guidelines would improve DIS information quality and acquisition of AID documents for the DIS system.

10. Target Existing and Future Database-Generated Publications to Specific User Groups - All existing and future database-generated publications, such as AID Research and Development Abstracts(ARDA), Catalog for Research Literature in Development(CLRD), Special DIS Bibliographies, and DIS Project and Document Accessions Lists will be designed and targeted for effective use by specific user groups identified by subject interest, geographic interest, function (research, evaluation, technical assistance, development planning, etc.).

11. DIS Users Manual - The AID Document and Information Handling Facility Operations Manual will be completed by December, 1983. It will include a DIS system user's manual which will assist AID staff who are trained as users of the DIS system.

12. Development Information Newsletter - This publication will communicate to PPC/EDIS user groups information systems and services available from PPC/EDIS, the latest information system developments and modifications, new database acquisitions, new user installations, information trends, best seller publications, future system and information service development plans and schedules, etc. The publication would also provide forms for requesting information, providing suggestions, and contributing reports and publications. It would also feature other AID-funded development information clearinghouse operations, what information services they offer and how to request this information.

f. User Queries: Ideas About Office-Wide Process for Sorting Queries for Action in the Most Appropriate Unit

1. Information Request Screening Function - PPC/EDIS/I will establish a dedicated unit for logging in, assigning, monitoring, and logging out of all information requests received by the division. Each request will be reviewed to determine action assignment within the division (Library, USDA Graduate School Request Unit, AID-Document and Information Handling Facility), with other PPC/EDIS divisions (Analysis and Evaluation), or other AID/W offices. Weekly status reports will be issued which display information requests completed during the last week and the backlog of outstanding requests assigned to each unit. Monthly statistical reports will be issued which describe the number and types of information requests received, requests answered, and requests which remain outstanding, by user group for the prior month. Year-to-date statistics by user group will also be depicted. Graphical display of statistics in barchart and piechart form will eventually be included.

2. Information Request and User Database - A MINISIS system will be designed to support the information request screening function performed for the information division. It will be designed as a model containing two databases: a user database and a request database. The user database will be an authority file of all PPC/EDIS/I users. The request database will be a record all incoming requests to the information division. All requests will be logged in the same day of receipt. Descriptive information for each request such as request date, form of request(cable, letter, memorandum), requestor name, requestor organization, descriptive request title, etc. will be recorded. Each request will receive a unique MINISIS supplied accession number. Automatic duplicate checking of information request log-in will be performed. A log-in control sheet which identifies the request to the action group will automatically be produced to accompany the request as a facesheet. This sheet will also provide space for the researcher to include the date request was completed, information sources used, and additional notes. On-line retrieval of completed or outstanding requests or other database searches against the user or request databases can be performed by anyone. Upon completion of the request, the control sheet will be returned to the request screening unit for final log-out. Once established, this same model database system could be easily applied for use by the PPC/EDIS/A and PPC/EDIS/E divisions.

g. The "Self-Service" concept for Bureau/Mission Users with Respect to Automated Information

1. Transfer of Development Information System to USAID Missions - The AID Document and Information Handling Facility (AID-DIHF) will begin to implement the development information transfer activity in the first quarter of FY 1984. A feasibility study will be completed in September, 1983 to determine the appropriate micro- and/or mini-computer hardware and software combination(s) to be used to support transfer of the DIS database information to USAID missions and developing country institutions. In the fall of 1984, a demonstration lab will be established for development, testing, demonstration and training AID staff for the DIS database transfer. During FY 1984, the DIS database will be transferred to four developing country sites. Each site will also receive a complete or selected set of microfiche containing AID program, project, and technical documentation cited in the DIS database.

2. Geographic and Central Bureau Development Information Resource Centers - The Information Division would assist each AID/W bureau to establish a development information resource center. This center would be responsible for servicing geographic bureau information requests which could be answered by searching the Development Information System directly or by pulling copies of AID project and technical documentation from the resource center's microfiche set collection. We would provide each bureau with a computer terminal, a complete set of DIS microfiche, and would train a geographic bureau professional to perform information search and retrieval operations on the DIS system. This center could also act as a coordination point for all bureau information requests referred to PPC/EDIS or other AID offices.

For each item in Mally's list:

Show: costs to accomplish

: realistic estimates of time to complete

: interrelationships among items -

-- which impacts on others; what must be done first, before others can happen, etc.

Then: can ^{begin to} establish some priorities

5. DI PROJECT CURRENTLY UNDERWAY TO IDENTIFY
ADDITIONAL INFORMATION RESOURCES/COOPERATING
AGENCIES *and other DI initiatives.*

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON D C 20523

Bob Gaul

235 - 9048

June 22, 1984

Miss Helen A. Wilson
1935 39th Street, N.W.
Washington, D.C. 20007

Dear Miss Wilson:

Based on our preliminary discussions in my office last week, this letter recaps the comprehensive two-phase task which this unit is planning to undertake in the near future, and closes with comments relating to your verbally expressed interest in having a key role in this task.

The Development Information unit of AID serves the world-wide development community. Requested information, much of it having been generated through AID/predecessor agency-supported projects over the years, is provided in several forms.

While AID's present data base is substantial, it is known that other institutions/organizations world-wide maintain data bases and other information services dealing with development information. AID's Development Information unit's function is often summed up in the phrase "To prevent 're-invention of the wheel' in international development activities". Therefore, it seems only proper that AID become fully aware of relevant development information available at other information centers world-wide, so that additional sources can be tapped by AID in the course of filling requests for development information. Conversely, such other institutions and organizations should be given a chance to access AID's data base and other information services.

AID is now prepared to take the initiative in a comprehensive two-phase operation aimed at accomplishing just such a sharing of development information. The first phase will consist of an extensive world-wide survey to identify information centers and compile basic statistics on each. A multitude of world-wide sources will be used to learn of the existence of such information centers, among them AID's Directory of Development Resources and Resources Report, other AID publications, non-AID publications, AID field offices, technical officers/project managers throughout AID/Washington, private voluntary organizations (PVO's) in the U.S. and overseas, other donor governments, LDC governments, and so on.

Specifically, the end product of the first phase should be an inventory, listed perhaps on 3" X 5" cards or as entries in AID's own data base, of information on each individual center, such as:

- a. Location of the parent institution/organization, with distance and direction from the capital city stated for any non-U.S. sites not situated within the capital city.
- b. Affiliation of parent institution/organization: whether government (national, state, province, etc.), academia, private industry, PVO, etc.
- c. Approximate number of employees of the information center.
- d. Storage media of the center's data (i.e. automated data base, hard copy library, microfiche, etc.).
- e. Number, and identification, of sectors represented: Agriculture, Health, Rural Development, etc.
- f. Number of data base entries and hard copy/microfiche titles for each sector.
- g. Dates of oldest and most recent data base entry for each sector.
- h. Growth rate of each sector's data base/hard copy/microfiche resources.
- i. Percentage of each sector's information that is in English.
- j. Non-English languages represented, and estimated percentages of each, by sector.
- k. Where available, frequency of use of each sector, in each media.
- l. Where available, the titles and language(s) of the 25 most frequently accessed items in each sector, in each media.
- m. Specific information as to data base and microfiche equipment used: manufacturer, type, age, capacity, etc.
- n. Significant information concerning any mechanized data system's electric power supply if the system is located in a less-developed country.

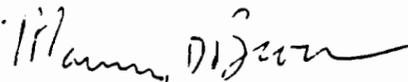
- o. Level of training of the persons who operate the center.
- p. Whether the data base or other elements of the center are presently linked in any way to AID (field or Washington), to any other USG operation, or to any other donor government's system, to (other) LDCs, etc.

The quality and quantity of the information obtained will have a direct bearing upon the effectiveness of the second phase of the operation.

The second phase will be a comprehensive evaluation of the information obtained in the first phase. It is likely that a high percentage of data bases and/or other elements of the information centers identified will be candidates for some degree of mutual sharing of data with AID. Additionally, it is anticipated that some, perhaps many, will be suited to, and the managing institution/organization interested in, a more comprehensive on-going collaborative arrangement with AID. Value judgements of institutions based solely on the written word are of limited value. Therefore AID/contractor personnel conducting this second phase will be expected to visit the institutions, wherever located, to aid in the process of evaluating the potential worth to AID and its world-wide clients of commencing long-term collaborative arrangements.

I look forward to receiving your response to this letter, including written confirmation of your readiness to participate in the implementation of Phase I of the above-described operation. Please include with your response a budget based on our discussions, a completed Contractor Employee Biographical Data Sheet (copy enclosed), and the likely date of your availability. We can then move ahead with issuing the related Purchase Order.

Sincerely,



Maury D. Brown, Chief
Development Information Division
Center for Development
Information and Evaluation
Bureau for Program and Policy
Coordination

Enclosure

The purpose of this purchase order is to contract with Creative Associates, Inc. to outline a proposed new CDIE service - the Development Experiences Reference Guide and Data Base - to provide a means to better inform AID mission and Bureau staff of evaluative, statistical, programmatic and technical information relevant to project design and development.

The contractor will undertake the following two tasks:

1. prepare a detailed workplan and budget for the generation, distribution, periodic updating, and overall management of the proposed Guide and related data base; and
2. prepare a sample module of the proposed Guide, focussing on the education sector.

In developing the proposed workplan and sample module, the contractor should be guided by the following:

Proposed Scope of Guide

The Guide will be composed of several modules, each focussing on a key development sector or topic, to be selected by CDIE, and including:

a) a lead article, highlighting AID's and other donor development experience, including lessons learned from past projects and programs, and important development innovations (technologies, methodologies, materials) relevant to the topic area;

b) syntheses of AID impact evaluations in the topic areas;

c) summaries of key AID projects, project documents, evaluative and technical reports, and economic and social data reports, drawn from AID's Development Information System (DIS), the Economic and Social Data Base, (ESDB) and other CDIE and AID resources, with details on ordering complete documents and statistical reports;

d) rosters of key AID technical offices and personnel, in the field and in Washington;

e) reviews of pertinent external information resources in the topic area, including key U.S.-based and foreign individuals and organizations, and specialized data and information collections and data bases;

f) citations/abstracts of noteworthy non-AID publications; and

g) detailed, cumulative indices for each module and the Guide as a whole.

Frequency/Periodicity

Four to six modules, (of varying length, depending on the topic chosen), are envisaged each year. Each module and the cumulative indices will be updated periodically, preferably annually. The detailed workplan and budget for the production of this Guide should be developed for a two year period.

Production Methods

To facilitate its preparation, updating, distribution and utilization, the Guide should be generated using WANG word processing equipment and /or WANG compatible personal computers. Each module should be produced in both hard-copy, loose-leaf form, as well as on floppy diskettes, to facilitate transmission to AID missions. Where feasible, machine-readable records from DIS, ESDB, and other AID databases should be downloaded and utilized in the production of the Guide

Thesaurus, as well as other specialized technical and special purpose codes (to be supplied by CDIE/DI and CDIE/EASA) should be utilized in developing indices to the Guide.

Related Products/Services

When designing procedures for data and text generation, collection, transfer and reproduction in conjunction with producing the Guide, opportunities for multiple use of the resulting data base (e.g. generation and specialized mailing lists, and directories of key resource people, information centers, and development related databases, etc.) also should be identified and costed out in the work plan.

Production Management

Lead articles and syntheses of AID impact evaluations for each module will be written by specialty organizations under separate contracts. Thus, activities and costs associated with the generation of these elements should be omitted from the proposed work plan. However, activities and costs relating to their integration into the production of each module, including coordination with authors, text processing, indexing, etc., should be provided for.

Evaluation Plan

An evaluation plan for assessing the impact of the Guide, after preparation and distribution of the first two modules, should also be included as a component of the work plan.

Sample Module

The contractor should develop a mock-up of the Guide, focussing on the education sector, and drawing in particular on the findings and experiences of AID's recent program evaluation in education. A copy

of AID's Program Evaluation Report No. 12, AID and Education: A Sector Report on Lessons Learned (January, 1984) will be provided as background.

Delivery Schedule

Contractor shall submit both the detailed work plan and budget for Guide, and sample module, by July 1, 1984.

Payment

For accomplishment of the work set forth herein, the contractor will be paid the FIRM FIXED PRICE of..... \$9,838.09.

All vouchers/invoices shall be submitted to M/FM/PAD, Agency for International Development, Room 621, SA-12, Washington, D.C. 20523

The following clauses are incorporated by reference as an addition to the nine provisions listed on the back of the first page of this order. Copies of these clauses are attached to the original of the order (contractors copy).

10. Termination for Conveniences of the Government (FPR 1-8.705.1, June, 1964)

11. Rights in Data and Publications (AIDRP 7-7.55-1-22, June 1973)
Alterations in Contract (AIDRP 7-7 dated October 1982 regarding Interest on Overdue Payments, payment due dates, and invoice requirements.

I. Cheryl Jones
Vice President
Business Development
Creative Associates, Inc.

Date

OUTLINE FOR SAMPLE MODULE

- I. INTRODUCTION (background, explanation, how to use).
- II. EXECUTIVE SUMMARY (overview of the diversity of educational projects, both past and present, AID policies, and future trends in the field of education. Regional overviews for 1983/84 education projects).
- III. SYNTHESSES OF IMPACT EVALUATIONS (list of the major impact evaluations including brief abstract).
- IV. SELECTED PROJECT PLANNING AND DEVELOPMENT RESOURCES (including rationale for major categories -- each category will include bibliographic information about exemplary projects/ documents as well as a brief summary of each).
Selected Categories:
 - A. PRIMARY/BASIC EDUCATION
 - B. NON-FORMAL EDUCATION
 - C. VOCATIONAL/TECHNICAL EDUCATION
 - D. TEACHER TRAINING
 - E. PARTICIPANT TRAINING
 - F. MANPOWER DEVELOPMENT TRAINING
 - G. AGRICULTURAL EDUCATION
 - H. UNIVERSITY/HIGHER EDUCATION
 - I. INSTRUCTIONAL TECHNIQUES (e.g., Programmed Learning Approach)
- V. CURRENT RESOURCES IN EDUCATION
 - A. Roster of AID/Washington personnel in the Education/Human Resource Field (office affiliation, with telephone number).
 - B. Recently approved, as well as on-going, AID educational projects.
 - C. List of clearinghouses with educational information (AID-funded, ERIC, UNESCO).
 - D. Statistical profiles in education (list of statistical material available and where to obtain it).
 - E. List of World Bank and United Nations offices worldwide.
 - F. List of ongoing World Bank education projects.
 - G. Roster of specialty/resource organizations and individuals (AID consultants roster, IQC list, list of universities, list of professional associations).
 - H. List of Policy Papers.

WORKSHEET FOR SAMPLE MODULE ON EDUCATION

The purpose of this worksheet is to collect specific information from each of the regional AID Bureaus for incorporation into the Development Experiences Reference Guide and Data Base module on education. This module, which will be produced in as many as three forms (floppy disk for WANG, microfiche, and hard copy) will be distributed to AID Missions internationally.

I. Selected Project Planning and Development Resources

The following categories have been selected by the Bureaus as the main areas of AID involvement in the field of education. We would ask that you list approximately six of what you feel to be informative projects/documents in design and implementation issues in education; this may include exemplary as well as project failures, from which lessons can be learned. Please repeat this process for each category selected, striving for good geographic representation. In each case please list the following bibliographic information: document status (e.g., PID); title; year; region (if not stated in title); author; and provide a short abstract.

In addition, we would ask that you list several important non-AID documents (e.g., World Bank, UN, etc.) under each category and provide as much bibliographic information as possible.

The categories selected are:

- A. PRIMARY/BASIC EDUCATION
- B. NON-FORMAL EDUCATION
- C. VOCATIONAL/TECHNICAL EDUCATION
- D. TEACHER TRAINING
- E. PARTICIPANT TRAINING
- F. MANPOWER DEVELOPMENT TRAINING
- G. AGRICULTURAL EDUCATION
- H. UNIVERSITY/HIGHER EDUCATION
- I. INSTRUCTIONAL TECHNIQUES (e.g., Programmed Learning Approach)

- II. A list of approved projects as well as ongoing educational projects in your region. Please include: project title, life of project, country, level of funding, and nature of project (short summary).
- III. An up-to-date list of your Bureau's Education/Human Resource officers in Washington (including telephone number and office affiliation).

We would be most appreciative of any other suggestions that each Bureau might provide for the creation of this sample module.

Thank you.

WORKSHEET

A. PRIMARY/BASIC EDUCATION

AID DOCUMENTS:

NON-AID DOCUMENTS:

B. NON-FORMAL EDUCATION

AID DOCUMENTS:

NON-AID DOCUMENTS:

C. VOCATIONAL/TECHNICAL EDUCATION

AID DOCUMENTS:

NON-AID DOCUMENTS:

D. TEACHER TRAINING

AID DOCUMENTS:

NON-AID DOCUMENTS:

E. PARTICIPANT TRAINING

AID DOCUMENTS:

NON-AID DOCUMENTS:

F. MANPOWER DEVELOPMENT TRAINING

AID DOCUMENTS:

NON-AID DOCUMENTS:

G. AGRICULTURAL EDUCATION

AID DOCUMENTS:

NON-AID DOCUMENTS:

H. UNIVERSITY/HIGHER EDUCATION

AID DOCUMENTS:

NON-AID DOCUMENTS:

I. INSTRUCTIONAL TECHNIQUES (e.g., Programmed Learning Approach)

AID DOCUMENTS:

NON-AID DOCUMENTS:

II. List of approved as well as ongoing educational projects. Please include project title, life of project, country, level of funding, and nature of project (short abstract).

III. Up-to-date list of your Bureau's Education/Human Resource officers in Washington (including telephone number and office affiliation -- i.e., AID/S&T, etc.).

TO: PPC/CDIE-DI Staff

August 13, 1984

FROM: PPC/CDIE-DI, Christine Wolter ^{ew}

SUBJECT: Development Information Bulletin

PPC/CDIE-DI will be issuing a new publication, the "Development Information Bulletin", in the near future. Initially it is planned to be distributed to all USAID Mission Information Centers. The idea behind the newsletter is to enable Mission Information Centers to become more aware of PPC/CDIE services and functions. The Bulletin will also serve as an outlet for exchanging information, and airing information service-oriented problems between the missions and PPC/CDIE-DI.

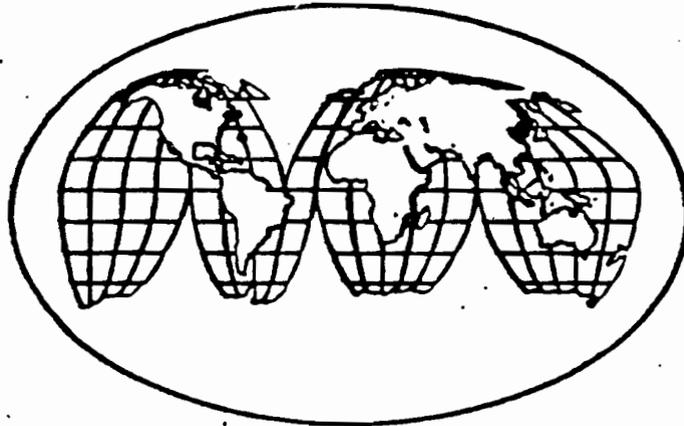
The Systems Services branch is soliciting your help in making this bulletin a success. We would appreciate your ideas on article topics and suggestions for any other major sections to be included in the bulletin. We are also soliciting your assistance in writing the actual articles.

We also welcome your ideas/input as to how long the bulletin should be, how often it should be issued, who else (in the D.C. area) to eventually send copies, etc.

Bill Morris will be coming around at your convenience this week, to collect your written suggestions, and take any other feedback you have to offer.

Center for Development Information and Evaluation

DEVELOPMENT INFORMATION BULLETIN



The "Bulletin" is a network geared toward informing USAID Missions of the various activities and services provided by the Development Information Office. 7

- CDIE Information Services
 - CDIE Outreach Services
 - CDIE Awareness Services
 - USAID Mission Bulletin Contributions
 - USAID Mission Information Needs
 - CDIE Selected Acquisitions List
-

Development Information Bulletin is a quarterly bulletin issued by PPC/CDIE-DI to communicate with the development information community. Submission of articles to be included in the bulletin, requests for additional materials and requests for address changes should be submitted to PPC/CDIE-DI, SA-18, Room 209, (703)235-9048.

DEVELOPMENT INFORMATION BULLETIN

DI Systems Services Branch is thinking of having the Development Information Bulletin consist of the following standard sections and subsections. We would appreciate receiving from you a brief description of potential articles that could be written for any of the following sections/subsections:

1. CDIE Information Services

Library Services

Research Services

Information Systems Services

2. Outreach Services

Training

3. Awareness Services

Recent Acquisition Efforts?

4. USAID Mission Bulletin Contributions --- (To be supplied by USAIDs).

5. USAID Mission Information Needs --- (To be supplied by USAIDs).

6. CDIE Selected Acquisitions List --- (To be supplied by SS branch).

7. Any other suggestions for sections/subsections:

DEVELOPMENT INFORMATION NETWORK

july 1984

(Sample)

newsletter

Newsletter

Welcome to the first issue of the Development Information Network. This network is our attempt of informing our user audience of our activities and capabilities, hopefully enhancing your research activities and capabilities. Most importantly, though, we want this vehicle to represent a central communications link whereby all our readers can convey relevant and timely information to others around the world. Toward this end, we want to engage you in a two-way communications channel--one way as an assistance to you, and in another way using your skills and knowledge to assist others with similar problems. We hope you will take advantage of this newsletter, and assist us in making it into a reliable, effective source to the myriad problems we all share. From all the staff at Development Information, Welcome to the DI Network.

Mary Brown

D.I.H.F.--AID's Institutional Memory....The AID Document and Information Handling Facility(DIHF)is the heart of Development Information's data storage activity. Since 1981 the DIHF has been responsible for the complete processing of AID project documentation, technical reports and other relevant development information. This critical support has enabled DI to respond quicker--and with greater accuracy--to the thousands of information requests the division receives each year.

Prior to 1981, AID's vast wealth of knowledge was maintained in a "decentralized" manner, with documentation and processing activities segmented and rather disjointed. The DIHF has now consolidated DI's information activities in a single facility, where complete processing--cataloguing, indexing, abstracting, etc.--puts AID's experiential information more at the fingertips of AID Missions and other users.

Several of the other services the DIHF provides to our users include: the provision of requested materials on a variety of mediums(paper, fiche, print-out, or printed stock); preparation of materials for shipment to the respective users; and the maintenance of AID's voluminous inventory, stock and documentation warehouse.

DATABASE REPORT

The forthcoming issues of The Development Information Network will include descriptions of several of the research databases used at DI to answer user information requests. The first of this series is perhaps our most commonly used database--DIALOG.

The DIALOG Information Retrieval Service is comprised of nearly 200 databases covering the general areas of science, technology, social sciences, business, and economics. Several of the databases available include: Food Science and Technology Abstracts--providing access to research related to food science; ERIC--containing informational materials from the Educational Resources Information Center; and MEDLINE--a database produced by the U.S. National Library of Medicine consisting of literature in virtually every field of biomedicine.

A complete list of other DIALOG databases is available upon request

6. ACTIVITIES/PROGRAMS OF THE PROGRAM/POLICY
EVALUATION DIVISION, CDIE

August 2, 1984

TO : See Distribution
FROM : PPC/CDIE, Nena Vreeland
SUBJECT : Implementation of PPC/CDIE Automated
Evaluation Planning and Performance System

In the coming month, PPC/CDIE will put into operation an Automated Evaluation Planning and Performance Monitoring System (EPPS). Ms. Charlotte Suggs is taking the lead in making the system operational, in ensuring its maintenance, and in developing requirements for automated reports to be generated from the database. The new database has three primary uses:

- to monitor actual Agency performance of evaluation as planned in a given fiscal year, and to monitor the receipt of evaluation reports in bureaus and in PPC/CDIE.
- to determine the extent to which the Agency-wide portfolio of project and nonproject assistance is being evaluated over time, and the resulting patterns in terms of evaluation coverage.
- to enhance AID/Washington's ability to answer queries regarding the Agency's recent, ongoing and planned evaluation work.

Through the application of EPPS, we hope to generate five basic reports: (1) the AID Evaluation Plan for Fiscal Year 19xx, which displays all evaluations in the current Agency plan by bureau and/or mission, by country and/or region, and by project number; (2) the AID Evaluation Plan for Fiscal Year 19xx (Progress Report), which shows planned, received, and past due reports by bureau (mission/office), country (region), and project number; (3) the AID Evaluation Plan for Fiscal Year 19xx by Appropriation Account (or Subcategory, or Primary Technical Code); (4) the Evaluation History of AID-supported Projects by sector, appropriation account, primary technical code, or any other variable which occurs once per project; and (5) the Evaluation Contractor Report. For a more complete description of EPPS, and its applications, see Attachment A.

The system promises to be of great use to PPC/CDIE by providing these reports. It is our hope that EPPS will prove valuable, as well, in answering ad hoc queries from Agency staff. To this end, we are interested in feedback from you, as potential users, of any anticipated requirements you have which can be accommodated by the system. We particularly welcome

suggestions, from bureaus' evaluation offices, of additional reporting conventions which will assist them in bureau-level evaluation monitoring activities.

At the same time, the effectiveness of EPPS will be determined by the degree to which it reflects sensitivity to Agency (bureau and mission) monitoring needs, and to the extent that it accurately captures bureaus' and missions' plans for, and performance of, evaluation. We will be using the annual Bureau Evaluation Plans, to extract planning data, once these are submitted. We also will require your cooperation and participation in informing PPC/CDIE of evaluation performance by submitting periodic evaluation receipt reports to PPC/CDIE, and by ensuring that copies of bureau/mission evaluations are sent to PPC/CDIE/PPE and PPC/CDIE/DI.).

We feel that a quarterly reporting cycle for evaluation receipt reports is most conducive to facilitating the maintenance of an accurate database. For this reason, we request that, at least initially, bureau evaluation offices submit such a report at the end of each fiscal year quarter. Attached is a suggested reporting form that includes the information we will need. We request that bureau evaluation offices -- beginning with the FY 1986 (October 1984) evaluation planning/reporting cycle -- forward copies of incoming evaluations, and quarterly evaluation reports, to PPC/CDIE/PPE, Ms. Charlotte Suggs, Room 660, SA-14.

Your cooperation in implementing EPPS will be appreciated greatly. We welcome your feedback, as the system becomes operational, telling us whether quarterly, semi-annual, or annual reporting conventions are most appropriate in terms of expediency to bureau interests as well as optimal efficacy to PPC/CDIE.

attachments:

A -- CDIE Automated Evaluation Planning and Performance System (EPPS): Its Capabilities and Its Applications

B -- Bureau-PPC/CDIE Quarterly Evaluation Receipt Report

Distribution:

AFR/DP, Gene Morris
ASIA/DP, Maureen Norton
LAC/DP, Jack Francis
NE/DP, Judy Wills
S&T/PO, Frank Campbell
FVA/PPE, Judy Gilmore
PRE/PPR, Bruce Bouchard
BIFAD/S, Priscilla Boughton

cc:

PPC/CDIE, HNorth
PPC/CDIE/PPE, MWarren
PPC/DI, MBrown
PPC/DI, LWhite ✓

Attachment A

Evaluation Planning and Performance System (EPPS): Its Capabilities and Applications

Description. Melded with existing programming, budgeting, and development information databases, the new Evaluation Planning and Performance System (EPPS) provides a unique opportunity to facilitate monitoring of AID's evaluation work. Users of EPPS can tap a fairly wide and rich set of information with greater historical depth and research utility because of its links to these other Agency databases. EPPS promises, as well, to ensure increased availability of evaluation findings, and to support inter-Bureau cooperation in evaluation work.

The MINISIS system -- an interactive, "user-friendly," information management system on which EPPS is run -- is compatible with the HP-3000 family of mini-computers which are increasingly in use in offices in AID. The EPPS program, keyed to project numbers, is comprised of twenty-one fields of varied lengths into which information on evaluation plans, evaluation receipts, evaluation costs and funding, and can be entered. One of the twenty-one fields provides the opportunity to record substantive information about the evaluation in such areas as evaluation utility, evaluation contractors methodologies, and major issues and lessons learned.

While PPC/CDIE is responsible for maintenance of, and revisions to, the system (and for data in the system), bureaus are encouraged to interact with the system to exploit the data in meeting their requirements. The system, primarily, has basic applications tailored to PPC/CDIE evaluation monitoring requirements. It is hoped that the flexibility of the program structure inherent in MINISIS will allow EPPS to respond to bureau reporting requirements as well. Optimal application of EPPS now, and in the future, depends upon the continued flow of information on evaluation planning and performance, and on user needs, from bureaus to PPC/CDIE.

Capabilities and Applications. Evaluation planning and performance data entered in EPPS provides the basis for generating five basic reports which facilitate PPC/CDIE fulfillment of routine reporting requirements, as well as ad hoc queries from internal AID sources or other Government agencies. At the minimum, EPPS generates reports for use in (1) monitoring the actual performance of evaluations as planned in a given fiscal year, and the receipt of evaluation

reports in bureaus and PPC/CDIE as planned; (2) facilitating AID's ability to answer queries regarding its recent, ongoing, and planned evaluation work; and (3) determining the extent to which the Agency-wide portfolio of project and nonproject assistance is being evaluated over time, revealing resulting patterns in terms of evaluation coverage.

Application of EPPS will enable PPC/CDIE to answer such questions as:

1. Is AID directing sufficient evaluative efforts to areas representative of its current assistance portfolio? to areas that will likely figure prominently in the future programming of AID assistance?

2. Should AID be devoting more evaluative attention to some areas than to others that have been, or are being, quite thoroughly assessed?

3. In what areas do we need more summative/impact evaluation, and where should we be emphasizing process (formative) evaluation ?

Reporting Conventions.

At this time, EPPS is capable of generating the following routine reports.

1. AID Evaluation Plan (by fiscal year)

Sorted by bureau, mission/office, and project number, this report displays, and provides totals of, all evaluations in the current fiscal year plan, giving basic information on planned evaluations (eg., evaluation title, evaluation funding source, and evaluation sponsor) for evaluations scheduled for performance in the current and next fiscal years. Data on current and next year's evaluation schedules, as reported in Bureau evaluation plans, is used as the basis for this report. Each project in multiproject evaluations is entered separately with the same evaluation title, and relevant evaluation scheduling, and funding data.

2. AID Evaluation Plan: Progress Report (by fiscal year)

This status report is generated periodically throughout the year. It shows planned, received (including received, unplanned), and past due evaluations as sorted by bureau, mission/office and project number.

3. AID Evaluation Plan by Appropriation Account* (by fiscal year)

The report format for this report is similar to that for report number one (1). This report, however, is first sorted by either appropriation account, subcategory or primary technical code. Secondary sort is for bureau, mission/office, and project number. If a single evaluation has more than one appropriation code (subcategory or primary technical code), it will appear under each code category, and will be included in the summary total of each category to which it is applicable. Each project in multiproject evaluations is entered separately under relevant code. However, EPPS keys to a "primary" project number for purposes of counting evaluations, as distinct from counting the number of projects covered..

4. Evaluation of AID-supported Projects

This report provides an evaluation "history" for any set of AID projects, as identified by the user . Sorting options for this report include region, Mission, appropriation account, primary technical code, sector, project assistance commencement date, and project assistance completion date.

Part two of this report includes a summary table which lists (by appropriation account, primary technical code or any other variable which occurs once per project, or once per funding source):

- a. the number of projects for a given variable;
- b. total life of project (LOP) costs of the projects encompassed by that variable;

*or Subcategory, or Primary Technical Code

c. the number of projects for that variable which have been evaluated;

d. LOP cost (for a single project) as a percentage of LOP costs for all projects listed for that variable;

e. total LOP costs for evaluated projects only; and,

f. total LOP costs of evaluated projects under that variable as a percentage of total LOP costs for all projects.

5. DIU Evaluation Receipt Report

Called-up periodically during the year, this report indicates which among the evaluations noted as received in EPPS has a corresponding document in the PPC/CDIE/DI Document Center. Thus, the user has an indication of "library" availability of actual evaluation reports.

6. Adhoc Queries

In addition to fulfilling the previous basic reporting conventions, EPPS can be used to answer adhoc queries from users. Some queries that PPC/CDIE anticipates are:

a. adhoc statistics on planned and/or received evaluations in a given fiscal year, or fiscal year quarter;

b. evaluation histories and/or plans for specific projects, sectors, appropriation accounts, etc.;

c. evaluation performance with respect to non-project assistance vehicles (eg., Commodity Import Program and ESF), of worldwide projects (eg., Housing Investment Guarantees Program, and PL 480), and of inter-country evaluations (eg., PPC impact series), for specific fiscal years;

d. bureaus/missions evaluation plans for specific topics in a given fiscal year;

e. actual evaluation costs for specific "program" evaluations in a given fiscal year;

f. planned evaluation costs for specific "program" evaluations in a given fiscal year.

As soon as EPPS is fully operational and the "bugs" worked-out, PPC/CDIE will work with Bureau evaluation office staff to acquaint them with "hands-on" procedures fro adhoc queries.

Prepared by:

Charlotte Suggs, PPC/CDIE
8/84

Attachment B

BUREAU-PPC/CDIE EVALUATION RECEIPT REPORT

(Quarter __, FY __)

BEST AVAILABLE COPY

Project Number	Project Title	AID/W Technical Backstop	Type* Evaluation	Type** Document	Document Date	Eval. Status(1) (i.e., P, R, D, or O)	Date Bureau Rec'd	Date Forw'd to PPC

BEST AVAILABLE COPY

* Type Evaluation = interim, final, expost, monitoring report, or special evaluation.
** Type Document = PES, Evaluation Report, Feasibility Study (for follow-on projects), Audit, etc.
(1) If the evaluation is unscheduled, write "unscheduled" in this column.
Planned = P, Received = R, Dropped = D, Postponed = O.

July 23, 1984

MEMORANDUM TO: AFR/DP, Mr. Gene Morris
FROM : PPC/CDIE/PPE, Nena Vreeland *NV*
SUBJECT : Evaluation Planning and Performance System

This is to inform you that PPC/CDIE is setting up an automated system for monitoring AID's evaluation planning and performance. To make the system work most effectively, we will need your continued cooperation. Conversely, we want to make the system useful to you as well as to CDIE.

Ms. Charlotte Suggs (PPC/CDIE) will take the lead in seeing that the automated database is put into operation and maintained. She will communicate with you directly on issues as they arise. We expect to have the system going at the beginning of FY1985, based on the Bureau FY85 evaluation plans.

A separate memo will follow describing the system and some of its potential uses. One computer-generated report will be the Agency-wide schedule, a preliminary format of which is attached.

cc: PPC/CDIE/PPE, Charlotte Suggs
PPC/CDIE/PPE, Marion Warren
PPC/CDIE/DI, Lee White

---REPORTING UNIT---	-----PROJECT DATA-----				-----EVALUATION PLANNING DATA-----			
BUREAU NAME MISSION/OFFICE PROJECT	INIT OBLG YEAR	EST COMPL DATE	OBLG TO DATE	EXP TO DATE	DATE OF PREVIOUS EVALUATION	PROPOSED DATE OF NEXT EVALUATION: CURR FY; NEXT FY	TYPE OF EVALUATION	
AFRICA								
BOTSWANA								
6330073	TRANSPORT SECTOR I 79	09-30-83	6,000	5,697		12-82 -	INTERIM PROJECT	
6330074	AGRICULTURE COLLEGE EXPANSION 78	01-01-86	8,430	6,410	6-81	- 03-84	INTERIM PROJECT	
6330092	SELF HELP HOUSING DEVELOPMENT (PVO) 77	07-31-83	1,118	1,118	7-79	12-82 -	FINAL PROJECT	
6330092	SELF HELP HOUSING DEVELOPMENT (PVO) 77	07-31-83	1,118	1,118	7-79	12-82 -	FINAL PROJECT	
6330209	RENEWABLE ENERGY TECHNOLOGY 80	09-30-85	3,304	870		- 12-83	INTERIM PROJECT	
6330222	PRIMARY EDUCATION IMPROVEMENT 81	05-08-86	3,123	1,513		03-83 -	INTERIM PROJECT	
BURUNDI								
6950101	BASIC FOOD CROPS 80	09-30-85	5,458	2,643		06-83 -	INTERIM PROJECT	
6950103	ALTERNATIVE ENERGY PEAT II 80	09-30-85	5,106	1,419		03-83 -	INTERIM PROJECT	
6950108	RURAL ROAD (ROUTE 84) 80	07-31-83	926	542		- 06-84	FINAL PROJECT	
CAMEROON								
6310004	NORTH CAMEROON LIVESTOCK AND AG DEV 78	04-30-85	4,539	2,980		- 12-83	INTERIM PROJECT	
6310008	AGRICULTURAL MANAGEMENT AND PLANNING 79	03-30-85	3,783	1,848		- 06-84	INTERIM PROJECT	
6310013	NATIONAL CEREALS RESEARCH AND EXTENSION 79	06-30-85	3,150	2,395		06-83 -	INTERIM PROJECT	

---REPORTING UNIT---		-----PROJECT DATA-----				-----EVALUATION PLANNING DATA-----					
BUREAU NAME	MISSION/OFFICE PROJECT	INIT OBLG YEAR	EST COMPL DATE	OBLG TO DATE	EXP TO DATE	DATE OF PREVIOUS EVALUATION	PROPOSED DATE OF NEXT EVALUATION: CURR FY NEXT FY	TYPE OF EVALUATION			
	6310015	SMALL FARMER	LIVESTOCK/POULTRY DEV (PVO)	80	02-28-85	1,285	672	03-83	-	INTERIM PROJECT	
	6310022	SMALL FARMER	FISH PRODUCTION	80	03-31-84	600	303	09-83	-	INTERIM PROJECT	
	6310044	CREDIT UNION	DEVELOPMENT (OPG)(UR)(PC)	80	10-01-86	802	282	03-83	-	INTERIM PROJECT	
	6310201	NORTH CAMEROON	RURAL HEALTH ED (PVO)	75	12-31-82	469	469	4-79	03-83	-	FINAL PROJECT
CAPE VERDE											
	6550003	TARRAFAL	WATER RESOURCES	77	12-30-83	3,037	2,812	12-82	-	FINAL PROJECT	
	6550003	TARRAFAL	WATER RESOURCES	77	12-30-83	3,037	2,812	12-82	-	FINAL PROJECT	
	6550003	TARRAFAL	WATER RESOURCES	77	12-30-83	3,037	2,812	12-82	-	FINAL PROJECT	
	6550008	PRIMARY AND	NONFORMAL EDUCATION	78	12-31-83	3,000	1,894	-	06-84	FINAL PROJECT	
	6550001	RURAL WORKS-	DISASTER RELIEF	75	03-31-82	4,430	4,430	12-82	-	FINAL MULTI-PROJECT	
	6550001	RURAL WORKS-	DISASTER RELIEF	75	03-31-82	4,430	4,430	12-82	-	FINAL MULTI-PROJECT	
	6550002	RURAL WORKS	(SOIL WATER)	78	12-31-80	00	00	12-82	-	FINAL MULTI-PROJECT	
	6550006	WATERSHED	MANAGEMENT	79	03-31-85	6,275	3,313	12-82	-	FINAL MULTI-PROJECT	
CONGO											
	6790001	SMALLHOLDER	AGRICULTURE DEV. 1 (PVO)	81	09-30-85	3,000	909	06-83	-	INTERIM PROJECT	
	6790005	NUTRITION	EDUCATION DEV AND TRNG (PVO)	80	11-26-83	227	206	-	03-84	FINAL PROJECT	

MAR 26 1984

INFORMATION MEMORANDUM FOR ASSISTANT ADMINISTRATOR
BUREAU FOR PROGRAM AND POLICY COORDINATION

FROM : AAA/PPC/E-DIU, W. Haven North
SUBJECT: Country Program Impact Evaluations

We are planning to undertake a series of country program evaluations. These evaluations can be particularly valuable to AID senior management. Thus before we get underway we would like to discuss purposes, criteria and plans with you. The recently released Carlucci Commission Report stresses the need for evaluations and suggests that evaluations be focused on the country program as a whole. Similarly, the World Bank Task Force on Concessional Flows is studying country program effectiveness. We believe we can be in the best position to be responsive to these interests and, most important, to our own development planning needs by undertaking our own country studies.

The purposes of these evaluations are thus:

1. To explore the magnitude of the U.S. assistance program in a developing country to try to determine its contribution to the economic and social changes that have taken place since the inception of the program.
2. To examine the inter-relationships between elements of the U.S. program (development assistance, supporting assistance, food assistance, program lending, PVOs, and sector activities) to see how they have contributed to a country's development.
3. To determine the relationship with other donors in terms of program or project mix and magnitude of support, to analyze the most effective approaches to coordinated assistance. The contribution of GC's and other coordinating mechanisms will be of interest.
4. To explore how AID development policies might have been applied in earlier programs in order to consider how better to focus these programs.

The criteria for the selection of countries would include:

- country programs of at least ten years duration with continuity of program activity;
- a mix of program instruments and other donor participation

- a size of program which is, although not necessarily dominant in the country, large enough to have had meaningful impact;
- country programs that are relatively representative of Agency development interests.
- country programs that will teach the Agency something of general interest based on a particular country experience (e.g. Basic Human needs in Sri Lanka.)

In these country impact studies, we would be interested in assessing AID program impact in such areas as:

- policy changes resulting from our assistance
- institutions established and strengthened
- technology applications and their contributions to economic growth
- changes in public/private sector orientations;
- significant sector accomplishments
- participant training impact
- specific social and economic changes in quality of living standards of the poor beneficiary community.

These and other topics will fall within the broader framework of program effectiveness in promoting growth and equity.

Inevitably we will have to take into account the affects of the political, economic and social environment on the program and AID management policies and actions. Also we will want to review old CDSSs and their former incarnations.

These studies will not be program management assessments of current operations. To avoid slipping into this we will set a cut-off year for the evaluation which predates the existing Mission management. We want to ensure that these evaluations are not regarded as audits, and that missions cooperate in this endeavor.

The Regional Bureaus have suggested a number of country candidates: Tunisia, Dominican Republic, Nepal, Turkey, Brazil, and Jordan.

We propose to undertake only two studies this year and then reassess their usefulness for additional evaluations next year.

A small team will be organized for each country. It will be led by a senior experienced AID employee such as a deputy assistant administrator or a mission director although we cannot realistically expect them to give full time to study over the whole period. Each study would take about five months: two months of preparatory work, one month in the field and two months to write up the report.

We would like to have you and the Deputy Administrator meet with the evaluation teams on a selective basis. We think that the category is one that is appropriate for such debriefings.

We will keep you informed of developments and may occasionally call upon your support to convince other bureaus to release key staff for these studies. We will also work with personnel to find appropriate leaders who may be between assignments.

March 14, 1984

MEMORANDUM

TO : All PPC/E-DIU Staff
FROM : DAAA/PPC/E, Paula O. Goddard
SUBJECT: (Revised) List of Topic Working Groups

Attached please find a list of topic working groups for your information.

<u>Population</u> Annette Binnendijk,* Ward, EASA Long, EASA Mara, DI Stephen, DI Godiksen, PPE	SYNTHESIS	Later
<u>Country Program Effectiveness</u> David Steinberg, * PPE Thompson, PPE Collins, EASA Straub, EASA Redmond, DI	IMPACT EVALUATION	Current
<u>Urban Development</u> John Straub,* EASA Collins, EASA Ward, EASA Kennedy, DI Bowles, PPE Suggs, PPE	SYNTHESIS	Current
<u>Wood Energy</u> Frank Denton,* EASA Bowles, PPE Westrick, DI	SYNTHESIS	Current
<u>Project Sustainability (&Institution Building)</u> Ed Dela Rosa, * EASA Miller, EASA Vreeland, PPE Suggs, PPE Kennedy, DI Economist	SYNTHESIS	Current
<u>Project Design Alternatives</u> Chris Herman,* EASA Clapp-Wincek, PPE Vreeland, PPE Kennedy, DI	SYNTHESIS	Current

<u>Women In Development</u>	SYNTHESIS	Later
Anamaria Long,* EASA Steinberg, PPE Mara, DI Goddard, D/AAA		
<u>Nutrition (Especially Supplemental Feeding)</u>	SYNTHESIS	Later
Gerald Britan,* EASA Straub, EASA Pope, DI Godiksen, PPE		
<u>Evaluation Data Collection Methodologies</u>	SYNTHESIS/ STATISTICAL REPORT	Later
Gerald Britan, * EASA Herman, EASA Vreeland, PPE Suggs, PPE Mara, DI		
<u>BHN (Basic Human Needs)</u>	SYNTHESIS/ STATISTICAL REPORT	Later
Chris Herman,* EASA Clapp-Wincek, PPE Kennedy, DI		
<u>Food Consumption Needs</u>	SYNTHESIS/ STATISTICAL REPORT	Later
Richard Collins,* EASA Straub, EASA Simmons, PPE Research Services Branch, DI (Pope,DI)		
<u>Technology Transfer</u>	SYNTHESIS	current
Peter Delp,* PPE Simmons, PPE Westrick, DI		
<u>Professional LDC Education in U.S.</u>	SYNTHESIS	current
Ray Cohen, * PPE Warren, PPE , EASA Stephen, DI	(Participant Training)	

*Coordinator

Program AID/CIP's

SYNTHESIS

Current

Robert Thompson,* PPE
Steinberg, PPE
Mara, DI

Employment Generation

SYNTHESIS

Current

Don Bowles, * PPE
Miller, EASA
Westrick, DI

*Coordinator

MAR 21 1964

INFORMATION MEMORANDUM FOR ASSISTANT ADMINISTRATOR
BUREAU FOR PROGRAM AND POLICY COORDINATION

FROM : AAA/PPC/E-DIU, W. Haven North
SUBJECT: Country Program Impact Evaluations

We are planning to undertake a series of country program evaluations. These evaluations can be particularly valuable to AID senior management. Thus before we get underway we would like to discuss purposes, criteria and plans with you. The recently released Carlucci Commission Report stresses the need for evaluations and suggests that evaluations be focused on the country program as a whole. Similarly, the World Bank Task Force on Concessional Flows is studying country program effectiveness. We believe we can be in the best position to be responsive to these interests and, most important, to our own development planning needs by undertaking our own country studies.

The purposes of these evaluations are thus:

1. To explore the magnitude of the U.S. assistance program in a developing country to try to determine its contribution to the economic and social changes that have taken place since the inception of the program.
2. To examine the inter-relationships between elements of the U.S. program (development assistance, supporting assistance, food assistance, program lending, PVOs, and sector activities) to see how they have contributed to a country's development.
3. To determine the relationship with other donors in terms of program or project mix and magnitude of support, to analyze the most effective approaches to coordinated assistance. The contribution of GC's and other coordinating mechanisms will be of interest.
4. To explore how AID development policies might have been applied in earlier programs in order to consider how better to focus these programs.

The criteria for the selection of countries would include:

- country programs of at least ten years duration with continuity of program activity;
- a mix of program instruments and other donor participation

- a size of program which is, although not necessarily dominant in the country, large enough to have had meaningful impact;
- country programs that are relatively representative of Agency development interests.
- country programs that will teach the Agency something of general interest based on a particular country experience (e.g. Basic Human needs in Sri Lanka.)

In these country impact studies, we would be interested in assessing AID program impact in such areas as:

- policy changes resulting from our assistance
- institutions established and strengthened
- technology applications and their contributions to economic growth
- changes in public/private sector orientations;
- significant sector accomplishments
- participant training impact
- specific social and economic changes in quality of living standards of the poor beneficiary community.

These and other topics will fall within the broader framework of program effectiveness in promoting growth and equity.

Inevitably we will have to take into account the affects of the political, economic and social environment on the program and AID management policies and actions. Also we will want to review old CDSSs and their former incarnations.

These studies will not be program management assessments of current operations. To avoid slipping into this we will set a cut-off year for the evaluation which predates the existing Mission management. We want to ensure that these evaluations are not regarded as audits, and that missions cooperate in this endeavor.

The Regional Bureaus have suggested a number of country candidates: Tunisia, Dominican Republic, Nepal, Turkey, Brazil, and Jordan.

We propose to undertake only two studies this year and then reassess their usefulness for additional evaluations next year.

A small team will be organized for each country. It will be led by a senior experienced AID employee such as a deputy assistant administrator or a mission director although we cannot realistically expect them to give full time to study over the whole period. Each study would take about five months: two months of preparatory work, one month in the field and two months to write up the report.

We would like to have you and the Deputy Administrator meet with the evaluation teams on a selective basis. We think that the category is one that is appropriate for such debriefings.

We will keep you informed of developments and may occasionally call upon your support to convince other bureaus to release key staff for these studies. We will also work with personnel to find appropriate leaders who may be between assignments.

February, 1981

1984 AGENDA: DEVELOPMENT EXPERIENCE REVIEWS

The purpose of Development Experience Reviews is to improve the quality of the development programs of A.I.D. and Developing Countries. This is to be achieved by providing an enriched and widely shared understanding of our experience with development projects and programs and development trends.

The reorganization and consolidation of A.I.D.'s central evaluation and information offices provides a new perspective on their role in A.I.D. development programs. It broadens the range of topics and approaches for development experience assessments. It deepens the resources that can be brought to bear on selected topics. The reorganization thus provides an increased capability to serve the Agency's development objectives. This agenda builds on this new capacity as is evident in the major topic areas planned for 1984.

The two basic categories for the Development Experience Reviews in the agenda are:

- Impact Evaluations - in-depth examinations of completed projects in selected development sectors of interest to A.I.D.
- Development Experience Syntheses - special summations of existing evaluations, technical reports and development statistics with possibly some limited field work.

In addition, each bureau is undertaking various program evaluation studies as well as regular ongoing project evaluations.

Why undertake Development Experience Reviews?

The underlying motive for retrospective examinations of the Agency's development programs is to learn from experience. The familiar philosopher's statement: "Those who cannot remember the past are condemned to repeat it" is applicable to A.I.D. as the GAO, Congress and other critics have pointed out. We are also intensely interested in learning about the effectiveness of aid - an often illusive subject.

Development Experience Reviews, therefore, are undertaken to:

- examine in-depth projects that have been completed clustered around sub-sectoral development topics. These evaluations attempt to determine the impact of A.I.D. assistance on a Developing Country's economic and social growth and on its poor communities and to answer questions about the effectiveness of aid. They look into issues of project sustainability and

successful and unsuccessful activities and practices. They review the policy, institutional, technological and private sector features of the projects. From these evaluations and from special conferences of experts, we identify "lessons learned" which can be extended to others planning new programs.

- provide syntheses or summations of experience concentrating on pulling together the extensive existing material already available in evaluations and technical reports in A.I.D. and other development agencies. They provide insights on development trends and on issues common to projects in different categories. They are both broad in scope in evaluating Developing Country or international development trends that impinge on project effectiveness and very restricted in looking at questions internal to project design and implementation that enhance or diminish the quality of project activity. They also can provide useful background on experience for the new areas of A.I.D. interest such as urban development.

The Four Pillars of A.I.D. Programming

The Development Experience Reviews will include A.I.D.'s performance in Developing Country policy planning; technology transfer, generation and extension; institutional development and private sector participation in development. These interests will be addressed both directly as designated topics and indirectly as integral parts of the impact evaluations and development experience syntheses. From these reviews we can attempt to draw some conclusions on their application in A.I.D. programs.

How have the Agenda topics been selected?

The topics listed below have been identified from various sources. We have had discussions with several bureau staffs on their ideas and interests. These are more sharply spelled out in bureau strategy and evaluation plans. We took into account plans for additional policy papers as well as those policy papers already issued. We have reviewed the major program sub-allocations of DA/ESF for FY 1985. We have, of course, taken into account those evaluations and studies already underway or completed.

Timing and Costs

The agenda outlined below is for an 18-24 month period. Some of the reviews and evaluations will start immediately - others will be deferred for 6-9 months or more. The extended period will permit better advanced planning and preparation. At the

same time, we intend to accelerate the pace of the impact evaluations which have, in the past, strung out over too long a period.

On costs, our experience has been that full scale Impact Evaluations on one subject such as irrigation which include 4-5 field studies and an international conference cost at the outside \$200,000-\$250,000. The Development Experience Syntheses, even including workshops, are substantially less costly. We believe the evaluations and studies proposed can be carried out within our budgets for FY 1984 and FY 1985. A budget plan will be worked out as soon as we have a sense of A.I.D.'s views on the proposed subjects.

Geographic Bureau Evaluations

We have made a preliminary review of the 1984 Evaluation Plans for the four geographic bureaus. Each Bureau has set out a number of subjects for its own special evaluations, i.e.:

Africa - Farming Systems Research and Private Enterprise development

Near East - Population/Health, Urbanization, Water Scarcity and Utilization, Urban Labor Productivity, Basic Education and Teacher Training, Dryland Agriculture and Energy.

Asia - Agricultural Research, Population, Community Management and Participation.

LAC - Private Investment, Employment Generation, Export Promotion, Economic Stabilization/structural adjustment.

In addition the four geographic bureaus and their missions plan to carry out 320 mid-term project evaluations.

Our impact evaluations and syntheses will complement and reinforce these bureau evaluation plans.

The 1984 Agenda

The evaluation topics - joining what has been completed, now in process and planned - fall broadly in the following areas of A.I.D. program interest. The specific questions to be addressed beyond those cited, and the scope of work for each topic will be developed later by the topic coordinators and working groups. (The letters in () refer to the type of study and timing i.e. - I.E. - Impact Evaluation, S. - Syntheses; A. - first period, B. second period)

I. Agriculture

A. Direct Agricultural production - dryland farming (I.E., A.)

B. Mountain slope agriculture (I.E., B)

These topics will build on our existing evaluations of irrigation, agricultural research, and agricultural services. The Near East has made a good start on dryland agriculture evaluations. The proposed impact evaluation would be extended to other regions and look into our experience on issues such as the dryland/irrigation tradeoffs, slash and burn practices, applications of research and farmer training, viable farm sizes.

Mountain slope agriculture is a critical problem in all of the regions. Population pressures, erosion, farming systems, forestry programs - are often in conflict impoverishing large population groups and creating conditions of instability.

Other evaluations in technology transfer, higher professional education, and area development will provide supplementary information for these two topics.

II. Professional and Higher Education

A. LDC Institutions of Professional and Higher Education (I.E., B.)

B. Professional LDC Education in the U.S. (Long-term Participant only projects) (S, A)

C. Development Program Management Education - public and private. Management institutions and in-service management training activities (I.E., A)

A.I.D. invests a substantial portion of its budget in these areas - directly and through various project components. The FY 1985 budget proposes \$61 million in new commitments specifically for administrative and managerial education and professional and scientific education. This understates the total as there is e.g. over \$100 million a year in participant training as well. The key to sustained long-term development lies in the quality of the Developing Country professional and managerial leadership. What is the impact of A.I.D.'s major investment in preparing this leadership? How well have A.I.D. supported educational institutions and training projects been meeting LDC requirements?

III. Technology Development

A. Technology Generation, Transfer and Diffusion (S, A)

This has been and continues to be a major A.I.D. interest; it is at the core of our development projects. We propose to

examine our experience with the dynamics of technology development and its diffusion in the basic sectors of A.I.D. programs - agriculture, health/population, education, energy, etc. An important focus will be on A.I.D.'s experience with Developing Country institutions for the advancement of science and technology in development. If after a first phase review of existing material and experience it proves desirable to undertake more in-depth project impact evaluations, we will add this dimension during the later months of the agenda period.

IV. Private Enterprise

A. Mid-scale indigenous private enterprise. (I.E., B)

The evaluation work on private sector institutions is now well underway. Also we have a number of useful reports on small scale enterprises that can be summarized for dissemination. We plan to initiate a Phase II Private Enterprise Impact Evaluation series that will review our experience with mid-scale indigenous private enterprises that are integral to our programs in agriculture, health, etc. We will examine A.I.D.'s earlier work in enterprise development for Developing Country exports. In addition to the basic question of impact, we will be looking at the "how to" aspects of encouraging the growth of private enterprise. The latter point will introduce the role of development finance and other institutions in promoting private enterprises beyond simply providing credit.

V. Health and Population

A. Institutional Development for Health Services (I.E., A)

B. Population Program - organizational alternatives (S, B)

C. Nutritional Benefits of Supplementary Feeding Programs (S, B)

Health delivery services and disease control continue to be major A.I.D. funding categories with \$80 million proposed for commitment in FY 1985. We have made a start on the health evaluations but need to reorient our approach. The institutional features of health programs need further examination. Evaluation of experience in this dimension of our health programs will be useful as guides for the intensive introduction of ORT, malaria vaccination, etc. in the future. The contribution of supplementary feeding programs on nutrition in the Developing Countries is an important part of the health evaluations given A.I.D.'s major ongoing investment in PL 480 Title II. Key questions for these evaluations will be institutional and financial sustainability - a major problem in health services work.

Population as an evaluation subject has not been considered since our reports in 1979. A new look at recent experience particularly addressing organizational techniques and alternatives would be helpful for countries less advanced with family planning. We will draw on the new evaluations planned by the Asia Bureau.

VI. Country Program Effectiveness Evaluations

- A. Selected Country Program Reviews (I.E. A)
- B. Program Aid (S, A)

The recent Carlucci Commission Report points out the importance of comprehensive country evaluation that "interrelates programs and projects and expresses judgements of their effectiveness in supporting U.S. interests." Similarly the World Bank Task Force on Concessional Assistance is interested in learning more about country development program effectiveness. Our country evaluations would include 2 or 3 major country programs that have been in operation for 10 years or more. Some questions for these evaluations are: What has been the impact of A.I.D. development projects; How has donor coordination or the lack of it affected the quality of LDC development; What have been the effects of single or multiple aid instruments?

A.I.D. is also making major investments in country programs addressing general Developing Country resource requirements and macro-economic policy. In FY 1985, \$582 million is proposed in general commodity support not counting larger sums for cash transfers. Our recent evaluation of PL 480 Title I - now being completed is another element of this commodity aid. We plan to intensify our country program evaluations by reviewing our experience with CIPs and their commodity and local currency uses and their effectiveness in supporting policy reform.

VII. Special Development Experience Syntheses

Beyond the areas outlined above, there are additional topics that are of interest to A.I.D. These topics reflect: new interests in program priorities, instances where our experience is relatively recent and thus not suitable for more in-depth impact evaluations, subjects that cut across sectors and project areas, subjects that lend themselves to special statistical analyses from A.I.D.'s considerable statistical data base resources and finally subjects on program mechanisms.

- A. Urban Poverty and Development (S, A)

A recent emphasis in Bureau strategic plans. Urban population trends in the LDCs and their impact on requirements for training, water and social services.

B. Employment Generation (S, A)

Labor force growth over the next decade, implications for employment requirements, and experience with employment generation activities.

NAS

C. Wood Energy Experiences and Options (S, A)

Commercial and social benefits of wood production for energy.

D. Cost Recovery and Subsidies Reduction (S, B)

focus?

Experience with various techniques and policy dialogues such as user fees, price changes, etc.

E. Women in Development (S, B)

Gender differentiation in A.I.D. projects and experience in altering project designs.

F. Food Consumption Needs of LDCs (S, B.)

Statistical projection of needs over the next five years, based on population projections, per capita nutritional requirements.

G. Basic Human Needs (S, B)

Statistical assessment of progress in LDCs in meeting basic needs during the last two decades.

H. Project Design and Implementation (S, A)

Review of evaluation findings on project design alternatives and project sustainability (institutional, financial)

I. Assessment of Evaluation and Data Collection Methodologies Used by A.I.D. and Other Donor Agencies. (S, B)

VIII. Multilateral Programs and Joint Donor Evaluations

There have been a number of suggestions for the evaluation of multilateral programs, specifically, IFAD, WFP, CGIAR in which the U.S. has a major interest. Similarly, there is a growing interest in joint donor evaluations such as the U.S.-German Evaluation of Agricultural projects in Zaire. The DAC Experts Group on Evaluation is interested in promoting the latter. These extraordinary evaluation proposals will be examined during 1984 to determine whether and how they could be undertaken.

Annexes A and B provide a summary listing of evaluations and other studies completed and in process.

Attachments

A.I.D. EVALUATION PUBLICATIONS

The following reports have been issued in the A.I.D. Evaluation Publication series. Those documents with an identification code (e.g., PN-AAG-585) may be ordered in microfiche and paper copy. Please direct inquiries regarding orders to:

Editor of ARDA, PPC/E-DIU
Bureau for Program and Policy Coordination
Agency for International Development
Washington, D.C. 20523
U.S.A.

CROSS REFERENCE LIST BY SECTORAGRICULTURAL RESEARCHDiscussion Paper:

No. 13: AID Experience in Agricultural Research: A Review of Project Evaluations (May 1982) PN-AAJ-611

Impact Evaluations:

- No. 2: Kitale Maize: The Limits of Success (May 1980)
PN-AAH-723
- No. 14: Central America: Small Farmer Cropping Systems
(December 1980) PN-AAH-977
- No. 27: Korean Agricultural Research: The Integration of Research and Extension (January 1982) PN-AAJ-606
- No. 30: Guatemala: Development of ICTA and Its Impact on Agricultural Research and Farm Productivity (February 1982) PN-AAJ-178
- No. 33: Food Grain Technology: Agricultural Research in Nepal (May 1982) PN-AAJ-614
- No. 34: Agricultural Research in Northeastern Thailand (May 1982) PN-AAJ-615
- No. 44: West Africa Rice Research and Development (May 1983)
PN-AAL-012
- No. 48: Tunisia: The Wheat Development Program (October 1983)
PN-AAL-022

Evaluation Report:

No. 10: Strengthening the Agriculture Research Capacity of The Less Developed Countries: Lessons from AID Experience (September 1983) PN-AAL-020

EDUCATIONImpact Evaluations:

- No. 19: U.S. Aid to Education in Nepal: A 20-Year Beginning (May 1981) PN-AAJ-168
- No. 23: Northern Nigeria Teacher Educational Project (Sept. 1981) PN-AAJ-176
- No. 25: Thailand: Rural NonFormal Education - The Mobile Trade Training Schools (October 1981) PN-AAJ-171

CROSS REFERENCE LIST BY SECTOR

EDUCATION (con't)

Impact Evaluations:

- No. 37: Radio Correspondence Education in Kenya (August 1982)
PN-AAJ-620
- No. 38: A Low-Cost Alternative For Universal Primary Education
In The Philippines (September 1982) PN-AAL-001
- No. 46: U.S. Aid to Education in Paraguay: The Rural
Education Development Project (June 1983) PN-AAL-017

Special Study:

- No. 5: Korean Elementary - Middle School Pilot Project
(October 1981) PN-AAJ-169

ENERGY [Rural Electrification]

Discussion Paper:

- No. 3: Rural Electrification: Linkages and Justifications
(April 1979) PN-AAG-671

Impact Evaluations:

- No. 15: The Philippines: Rural Electrification (December
1980) PN-AAH-975
- No. 16: Bolivia: Rural Electrification (December 1980)
PN-AAH-978
- No. 21: Ecuador: Rural Electrification (June 1981) PN-AAH-979
- No. 22: The Product is Progress: Rural Electrification in
Costa Rica (October 1981) PN-AAJ-175

[Fuelwood]

Special Study:

- No. 1: The Socio-Economic Context of Fuelwood Use in Small
Rural Communities (August 1980) PN-AAH-747

EVALUATION METHODOLOGY/EVALUATION ISSUES

- Manager's Guide to Data Collection (November 1979) PN-AAH-434

Discussion Papers:

- No. 8: Assessing the Impact of Development Projects on Women
(May 1980) PN-AAH-725
- No. 9: The Impact of Irrigation on Development: Issues for a
Comprehensive Evaluation Study (October 1980)
- No. 10: A Review of Issues in Nutrition Program Evaluation
(July 1981) PN-AAJ-174
- No. 12: Turning Private Voluntary Organizations Into
Development Agencies; Questions for Evaluation (April
1982) PN-AAJ-612

Special Study:

- No. 8: Toward A Health Project Evaluation Framework (June
1982) PN-AAJ-619

CROSS REFERENCE LIST BY SECTOR

FOOD AID

Program Evaluation:

- No. 6: PL 480 Title II: A Study of the Impact of A Food Assistance Program in the Philippines (August 1982)
PN-AAJ-622

Discussion Paper

- No. 15: Food Aid and Development: The Impact and Effectiveness of Bilateral PL 480 Title I-Type Assistance (December 1982) PN-AAL-003

Impact Evaluations:

- No. 8: Morocco: Food Aid and Nutrition Education (August 1980) PN-AAH-851
No. 39: Sri Lanka: The Impact Of PL 480 Title I Food Assistance PN-AAJ-623
No. 45: PL 480 Title I: The Egyptian Case (June 1983)
PN-AAL-015
No. 47: The Impact of PL 480 Title I in Peru: Food Aid as an Effective Development Resource (October 1983) PN-AAL-021

HEALTH/NUTRITION

Discussion Papers:

- No. 1: Reaching the Rural Poor: Indigenous Health Practitioners Are There Already (March 1979) PN-AAG-685
No. 10: A Review of Issues in Nutrition Program Evaluation (July 1981) PN-AAJ-174

Impact Evaluations:

- No. 8: Morocco: Food Aid and Nutrition Education (August 1980) PN-AAH-851
No. 9: Senegal: The Sine Saloum Rural Health Care Project (October 1980) PN-AAJ-008
No. 36: Korea Health Demonstration Project (July 1982)
PN-AAJ-621

Special Studies:

- No. 2: Water Supply and Diarrhea: Guatemala Revisited (August 1980) PN-AAJ-007
No. 8: Toward A Health Project Evaluation Framework (June 1982) PN-AAJ-619

INSTITUTION BUILDING

Discussion Paper:

- No. 11: Effective Institution Building: a Guide for Project Designers and Project Managers Based on Lessons Learned From the AID Portfolio (March 1982) PN-AAJ-611

CROSS REFERENCE LIST BY SECTOR

INTEGRATED RURAL DEVELOPMENT

Impact Evaluations:

- No. 28: Philippines: Bicol Integrated Area Development
(January 1982) PN-AAJ-179
- No. 43: Egypt: The Egyptian American Rural Improvement
Service, A Point Four Project, 1952-63 (April 1983)
PN-AAL-011

Special Study:

- No. 7: The Vicos Experiment: A Study Of The Impacts Of The
Cornell-Peru Project In A Highland Community (April 1982)
PN-AAJ-616

IRRIGATION

Discussion Paper:

- No. 9: The Impact of Irrigation on Development: Issues for a
Comprehensive Evaluation Study (October 1980)

Impact Evaluations:

- No. 4: Philippine Small Scale Irrigation (May 1980) PN-AAH-749
- No. 12: Korean Irrigation (December 1980)
- No. 29: Sederhana: Indonesia Small-Scale Irrigation (February
1982) PN-AAJ-608
- No. 31: Sudan: The Rahad Irrigation Project (March 1982)
PN-AAJ-610
- No. 35: The On-Farm Water Management Project in Pakistan (June
1982) PN-AAJ-617
- No. 42: Bangladesh Small-Scale Irrigation (April 1983)
PN-AAL-010
- No. 43: Egypt: The Egyptian American Rural Improvement
Service, A Point Four Project, 1952-63 (April 1983)
PN-AAL-011

Program Evaluation:

- No. 8: Irrigation And AID's Experience: A Consideration Based
On Evaluations (August 1983) PN-AAL-019

LIVESTOCK DEVELOPMENT

Discussion Paper:

- No. 6: The Sociology of Pastoralism and African Livestock
Development (May 1979) PN-AAG-922

CROSS REFERENCE LIST BY SECTOR

LIVESTOCK DEVELOPMENT (con't)

Program Evaluation:

- No. 4: The Workshop on Pastoralism and African Livestock Development (June 1980) PN-AAH-238

LOCAL GOVERNMENT

Special Study:

- No. 17: Local Government Trends and Performance: Assessment of AID's Involvement in Latin America November 1983 (PN-AAL-023)

POPULATION/FAMILY PLANNING

Discussion Paper:

- No. 5: Study of Family Planning Program Effectiveness (April 1979) PN-AAG-672

Program Evaluations:

- No. 1: Family Planning Program Effectiveness: Report of a Workshop (December 1979)
No. 2: A.I.D.'s Role in Indonesian Family Planning: A Case Study with General Lessons for Foreign Assistance (December 1979) PN-AAH-425
No. 3: Third Evaluation of the Thailand National Family Planning Program (February 1980) PN-AAH-006

PRIVATE SECTOR

Impact Evaluation:

- No. 41: Impact Evaluation of Housing Guaranty Programs In Panama (March 1983) PN-AAL-008

Discussion Papers:

- No. 14: Private Sector: Ideas and Opportunities: A Review of Basic Concepts and Selected Experience (June 1982) PN-AAJ-618
No. 16: The Private Sector, The Public Sector, And Donor Assistance In Economic Development: An Interpretive Essay (March 1983) PN-AAL-007
No. 18: Free Zones In Developing Countries: Expanding Opportunities for the Private Sector November 1983 (PN-AAL-024)

CROSS REFERENCE LIST BY SECTOR

PRIVATE SECTOR (con't)

Special Studies:

- No. 4: The Social Impact of Agribusiness: A Case Study of ALCOSA in Guatemala (July 1981) PN-AAJ-172
- No. 6: The Economic Development of Korea: Sui Generis or Generic? (January 1982) PN-AAJ-177
- No. 9: Private Sector: Costa Rica (March 1983) PN-AAL-005
- No. 10: Private Sector: The Tortoise Walk: Public Policy And Private Activity In The Economic Development of Cameroon (March 1983) PN-AAL-004
- No. 11: The Private Sector And The Economic Development Of Malawi (March 1983) PN-AAL-006
- No. 12: Ventures In The Informal Sector, And How They Worked Out In Brazil (March 1983) PN-AAL-009
- No. 14: The Private Sector: The Regulation Of Rural Markets In Africa (June 1983) PN-AAL-014
- No. 15: The Private Sector: Ethnicity, Individual Initiative, And Economic Growth In An African Plural Society: The Bamileke of Cameroon (June 1983) PN-AAL-016
- No. 16: Private Sector Evaluation: The Dominican Republic (June 1983) PN-AAL-0

PRIVATE VOLUNTARY ORGANIZATIONS

Discussion Paper:

- No. 12: Turning Private Voluntary Organizations Into Development Agencies; Questions for Evaluation (April 1982) PN-AAJ-612

Impact Evaluations:

- No. 7: Effectiveness and Impact of the CARE/Sierra Leone Rural Penetration Roads Projects (June 1980) PN-AAH-751
- No. 10: Tunisia: CARE Water Projects (October 1980)
- No. 24: Peru: CARE OPG Water Health Services Project (October 1981) PN-AAJ-176

Special Study:

- No. 12: Ventures In the Informal Sector, And How They Worked Out In Brazil (March 1983) PN-AAL-009

ROADS

Discussion Papers:

- No. 2: New Directions Rural Roads (March 1979) PN-AGG-670
- No. 7: Socio-Economic and Environmental Impacts of Low-Volume Rural Roads -- A Review of the Literature (February 1980) PN-AAJ-135

CROSS REFERENCE LIST BY SECTOR

ROADS (con't)

Program Evaluation:

No. 5: Rural Roads Evaluation Summary Report (March 1982)
PN-AAJ-607

Impact Evaluations:

- No. 1: Colombia: Small Farmer Market Access (December 1979)
PN-AAH-768
- No. 6: Impact of Rural Roads in Liberia (June 1980) PN-AAH-750
- No. 7: Effectiveness and Impact of the CARE/Sierra Leone
Rural Penetration Roads Projects (June 1980) PN-AAH-751
- No. 11: Jamaica Feeder Roads: An Evaluation (November 1980)
- No. 13: Rural Roads in Thailand (December 1980) PN-AAH-970
- No. 17: Honduras Rural Roads: Old Directions and New (January
1981) PN-AAH-971
- No. 18: Philippines Rural Roads I and II (March 1981)
PN-AAH-973
- No. 26: Kenya: Rural Roads (January 1982) PN-AAH-972

SMALL-SCALE ENTERPRISE

Impact Evaluation:

No. 40: Assisting Small Business In Francophone Africa -- The
Entente Fund African Enterprises Program (December 1982)
PN-AAL-002

Special Study:

No. 13: The Evaluation of Small Enterprise Programs And
Projects: Issues in Business And Community Development
(June 1983) PN-AAL-013

WATER

Discussion Paper:

No. 4: Policy Directions for Rural Water Supply in Developing
Countries (April 1979) PN-AAG-691

Program Evaluation:

No. 7: Community Water Supply in Developing Countries:
Lessons from Experience (September 1982) PN-AAJ-624

Impact Evaluations:

- No. 3: The Potable Water Project in Rural Thailand (May 1980)
PN-AAH-850
- No. 5: Kenya Rural Water Supply: Program, Progress, Prospects
(June 1980) PN-AAH-724
- No. 10: Tunisia: CARE Water Projects (October 1980)
- No. 20: Korean Potable Water System Project: Lessons from
Experience (May 1981) PN-AAJ-170

CROSS REFERENCE LIST BY SECTOR

WATER (con't)

Impact Evaluations:

No. 24: Peru: CARE OPG Water Health Services Project (October 1981) PN-AAJ-176

No. 32: Panama: Rural Water (May 1982) PN-AAJ-609

SMALL-SCALE ENTERPRISE (con't)

Special Studies:

No. 2: Water Supply and Diarrhea: Guatemala Revisited (August 1980) PN-AAH-747

No. 3: Rural Water Projects in Tanzania: Technical, Social, and Administrative Issues (November 1980) PN-AAH-974

WOMEN IN DEVELOPMENT

Discussion Paper:

No. 8: Assessing the Impact of Development Projects on Women (May 1980) PN-AAH-725

COUNTRY PROGRAM STUDIES

Evaluation Report:

No. 9: U.S. Aid to Zimbabwe: An Evaluation (August 1983) PN-AAJ-605

CROSS REFERENCE LIST BY PUBLICATION SERIES

Impact Evaluations

1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48

Special Studies

1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17

Discussion Papers

1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18

Evaluation Reports

1, 2, 3, 4, 5, 6, 7, 8, 9, 10

ANNEX B

IMPACT EVALUATIONS AND OTHER STUDIES IN PROCESS

This category includes topics for which impact evaluations have yet to be completed, conferences held and/or syntheses prepared.

1. Agricultural Services (5)

Marketing institutions; credit, fertilizer, seed delivery systems; their effects on the small farmer and farm productivity.

2. PL 480 Title I (5)

Impact on economic policy, food production, nutrition and other project activities.

3. Private Enterprise (5)

Training, banking, credit, institutions; their effects on private sector development.

4. Area Development (3)

Program of integrated rural development activities; their sustainability and their effects on local beneficiaries.

5. Rural Primary Health Care (4)

Institutional requirements for effective health care extension.

6. Country Program Effectiveness: Portugal

7. Small Enterprise Promotion (Special Studies series)

Local institutions for small scale enterprise support.

7. ADDITIONAL DESCRIPTIONS OF EASA
ACTIVITIES (FORMERLY ESDS DIVISION)

Lee White
file
PPC/E-Diu

MEMORANDUM

10/7/83

TO : Annette Binendijk
Maury Brown
Lee White

FROM : Molly Hageboeck

SUBJECT: Transfer of Data Management Responsibility for ESDS to DI

Another subject on which Annette and Maury need to talk and work up a firm plan is the shift of the basic data base management of ESDS to DI. This shift, which should move the responsibility for day to day work in terms of data entry, such weeding and cleaning as is needed, and the ordering of new tapes to Lee -- without taking the substantive oversight concerning what the data base must contain away from Annette, should occur during FY84 -- in fact it should probably be one of the FY84 objectives that goes on the lists developed for Derham. By the end of FY84 we should be (a) fully automated with respect to what we need to do for the CP pages and the 620S first draft and (b) Lee should be "operational" with respect to management of the basic international statistics data base as well as any automated micro-data sets.

When you meet on other matters, it would be useful to go over this. A schedule should be developed for the transfer.

Let's set 10/20 as the due date for a transfer plan, with copies coming to Haven and me.

Thanks.

As you work this out you'll need to talk about moving Steve Berry over to DI. That may be something you should switch now as you are looking over staffing patterns and job descriptions. The memo that goes in on jobs need not cover this contractor switch, but our overall plan should.

cc: HNorth
SMalone



***ECONOMIC & SOCIAL
DATA SERVICES DIVISION***

Development Information
Utilization Service

Bureau for Science and Technology
Agency for International
Development

Washington, D.C. 20523

ECONOMIC & SOCIAL DATA SERVICES (ESDS)

WHAT IS ESDS?

ESDS is a computerized statistical information service for AID. With access to similar data centers at the World Bank, International Monetary Fund, the U.S. Department of Agriculture and other institutions, ESDS can tap a very large repository of economic and social development related data bases.

Statistical Library The ESDS Statistical Library can provide you with World Bank, International Monetary Fund, United Nations and host country statistical reports for AID assisted countries. Call for an appointment and ESDS staff will provide guidance to documents as well as space for working.

Statistical Reports Drawing on automated data bases in the World Bank, International Monetary Fund and U.S. Department of Agriculture as well as private sources, the ESDS can research information on most countries in the world. These automated data bases provide national level statistics on topics such as national accounts, balance of payments, trade, government finance, agricultural production, demography, nutrition, health, education and more.

Graphics Capability On a limited basis ESDS can provide specially "tailored" computer drawn maps, graphs and charts. These can be produced in multi-colors or black-and-white, in letter size or wall chart magnitude. If you are having trouble getting a point across to your host country counterpart or he is having trouble selling the point to his colleagues, call us and we will try to make it for you graphically.

Data Resources, Inc. ESDS has a contract with Data Resources, Inc. to provide a wide range of economic services including access to (1) international data bases, (2) statistical analysis, tabulation and graphics software programs and (3) econometric forecasting models.

Micro-Data Inventory In order to meet demand for very specific micro-data, ESDS has developed a large inventory of surveys on subjects ranging from agricultural credit to birth control to non-formal education. With ESDS's Micro-Data Inventory you can zero in on such data sets in any country or region in the world.

Surveys & Evaluation ESDS administers RSSAs with the Bureau of Census, Surveys & Evaluation Unit (SEU). On tap at SEU is a staff of 30 professionals available to assist with AID work both in the U.S. and abroad. Specializing in data collection and institutional development, SEU can provide important assistance in designing and evaluating projects.

HOW TO UTILIZE ESDS

Any AID employee can request ESDS help on any legitimate AID activity. Such assistance may be in the form of turn-key data display preparation, sharing of numerous already printed and packaged reports warehoused at ESDS, or for those wishing to get acquainted with all of the possibilities, you can sit down at the ESDS computer terminals and, with several hour's instruction, learn to access the system on your own.

For Project Officers, ESDS can give you valuable data for your next PID or PP. Whether it is general information for a Background Statement or trade data for the Economic Analysis, the ESDS computer can find it and print it out in chart, table or map form.

For Technical Officers, ESDS can ensure you the latest data in your field, arrayed in whatever fashion you judge useful. Try one of our computer drawn wall charts next time you're making a presentation to your LDC counterpart, or to colleagues in AID/W.

For Program Officers, call us next time you're embroiled in tracking data for your CDSS presentation, or for a policy paper. The ESDS can professionalize your work, even while simplifying it, by ensuring that you have the most up-to-date data available from International Organizations arrayed in a fashion that makes your point exactly.

FOR FURTHER INFORMATION

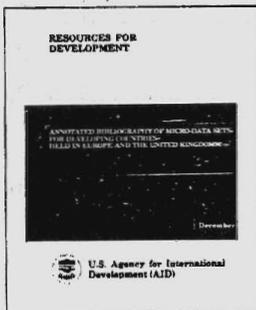
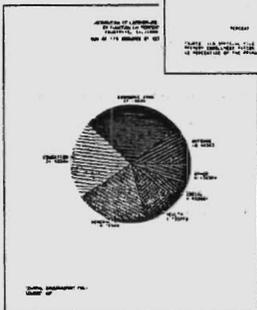
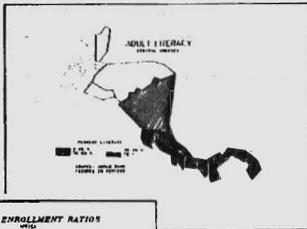
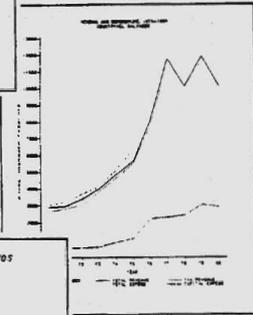
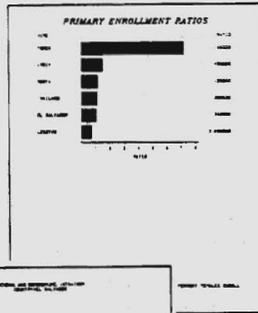
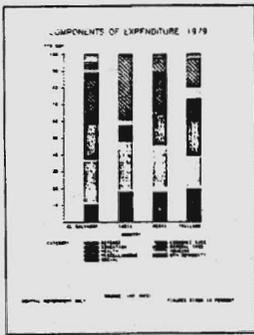
If you wish to look more closely into how ESDS can help you in your work, write or call:

ECONOMIC & SOCIAL DATA SERVICES DIVISION

Development Information and Utilization Service
Bureau for Science and Technology
Agency for International Development
Washington, D.C. 20523
Telephone: (703) 235-9170

Selected ESDS Publications

- ALLDATA Reports (available on request for 177 countries)
- Economic and Social Data Bank Data Element Dictionary
- Selected Statistical Data By Sex (available for 69 countries)
- Indicators of Food and Agriculture In AID Assisted Countries
- Indicators of Education in AID Assisted Countries
- Indicators of Nutrition in AID Assisted Countries
- Agriculture and Food Production Statistics (various regions of the world)
- Inventory of AID Micro Data Sets for Developing Countries
- Congressional Presentation Economic and Social Data for AID Assisted Countries
- Country Development Strategy Statement Data Abstracts (available for 46 countries)
- 620(s) Report to Congress on Military Expenditures



AID's SOCIOECONOMIC DATA SYSTEM

Briefing Paper Prepared By the
Economic and Social Data Services Division

May 9, 1983

CURRENT SITUATION

The Agency for International Development is involved in gathering and utilizing both micro level and macro level statistics covering a wide range of subject matter.^{1/}

Macro statistics

1. Data Uses

AID's interest in macro or national level socio-economic data on the LCDs stems from our requirements for reporting/analyses in the following categories:

- (a) statistical reports and analyses to the U.S. Congress in response to FAA mandates,
- (b) statistics for press releases, public relations and testimony by AID's leadership,
- (c) statistical analysis support to AID offices and missions involved in sectoral strategy and policy analyses, macro economic and social planning, and program design and evaluation.

2. Types of Data

The types of macro statistics gathered and used by AID include the following subjects:

economic statistics

- (a) national accounts
- (b) government finances
- (c) trade, prices and international finance
- (d) industrial production
- (e) agricultural and food production
- (f) energy

^{1/}Here macro level data refers to data at a high level of aggregation (often national level) that cannot be broken down to the level at which they were collected. Micro level data on the other hand refers to a dataset containing the individual records of households, persons, farmers, enterprises, service units or other units of collection.

social statistics

- (a) demographic
- (b) poverty and distribution
- (c) labor force
- (d) housing
- (e) education
- (f) health and nutrition

3. Data Sources

AID obtains the majority of its macro statistics in automated form from various international and U.S. government agencies with major data collection capabilities. Currently our major sources include:

- * World Bank
- * International Monetary Fund
- * United Nations Statistical Office
- * Organization for Economic Cooperation & Development
- * US Department of Agriculture
- * US Bureau of the Census

We update these databases on a regular basis as our source institutions update them. The number of database updates varies, from about 1 to 4 times per year depending upon the source.

In addition, AID maintains an automated AID official file and several sector-specific files for special series not available in automated format elsewhere. These data are gathered from various IO statistical publications, AID missions and offices, and other published or unpublished sources. (See annex A for a description of these automated databases.)

4. Method of Organization/Storage of Data

The majority of these macro databases contain annual time-series, going back in some cases to the 1950s or 1960s, and is available for as many as 170 countries. The size of each database varies, generally containing several hundred variables each.

The databases are maintained on AID's mainframe computer system (IBM 370 and IBM 43-41) in a variety of file types including INQUIRE, SAS, and FORTRAN. Our plans are to move towards greater reliance in the future upon SAS for our file maintenance, analysis and display of the databases. We have a unifying, interactive system for accessing the databases referred to as POPR. We have capabilities for graphic display of the data using a CALCOMP plotter and SAS Graphics software, and also for transferring the databases onto microcomputers.

5. Organizational Unit(s) Responsible for Collection/Organization/Maintenance of Data

The Economic and Social Data Services (ESDS) Division of PPC/E has the primary responsibility in AID for gathering, storing, displaying, analyzing and disseminating macro socio-economic statistics in AID. Computer support services are provided to ESDS by Data Management. (M/SER/DM)

1. Data Uses

AID uses micro data for many analytical purposes requiring datasets at a sub-national level. Examples would include:

- (a) project design, implementation and evaluation
- (b) Country Development Strategy Statements
- (c) development-related research addressing AID policy and program concerns

2. Types of Data

The subject content of these micro datasets include:

- * agriculture
- * health and nutrition
- * energy and natural resources
- * demographic topics
- * economic topics
- * education
- * other subjects

3. Data Sources

AID has funded hundreds of micro data collection efforts in the LDCs in recent years. Sometimes they are in support of government data collection efforts, such as support of a census or national level survey, and involve an element of institution-building. Often, the data collection activity is a component of an AID project and provides baseline data for project design, monitoring and evaluation purposes.

Little, if any, micro data is systematically collected from other, non-AID sources, for use by AID analysts and contractors.

4. Method of Organization/Storage of data

Despite AID's large investment in data collection activities in developing countries, there has been little effort until recently to develop a central repository for these datasets, or even to provide a comprehensive listing of the hundreds of micro data collection efforts financed by AID in recent years.

ESDS currently has underway a survey of AID funded data collection activities, the results of which should be available within the next few months. This inventory or monitoring system should be useful to analysts for identifying datasets already available for secondary analysis or for providing methodological guidance for new survey design. For each data collection activity, the inventory provides information on project, number country, sample size, subject content, availability of reports, computer files and documentation, a narrative description of the survey and further contacts for more information.

Also, ESDS is now undertaking the development of contract standards for data collection efforts funded by AID. This will help insure that future data collection efforts implemented under AID contracts will provide high quality datasets, standardized computer files and adequate documentation. If these guidelines are put into effect, future tapes with the datasets and accompanying documentation will be maintained in a central location in AID.

5. Organizational Unit(s) Responsible for Collection/Organization/Maintenance of Data

AID's functional handbook assigns ESDS with the responsibilities for overall coordination and provision of technical guidance to AID data collection activities. ESDS chairs an Inter-Agency Task Force that manages AID's RSSA (Resource Services Support Agreement) with the Surveys and Evaluation Unit of the U.S. Bureau of the Census, International Statistical Programs Center. This BuCen unit provides AID offices and Missions with short-term technical assistance in all aspects of data collection.

However, many AID-supported data collection activities are designed and monitored by individual offices or missions with little central review, guidance or coordination. Thus, quality varies greatly, good documentation is scarce, results are scattered with limited dissemination, and secondary analysis/use of datasets are very rare.

PERCEIVED NEEDS, ADVANTAGES & DISADVANTAGES IN AID'S DATA COLLECTION SYSTEM

Macro Statistics

In the macro data area, AID faces some gaps in terms of special subject matters of current importance to the Agency. For example we have unmet data needs in energy, natural resources and environmental quality, private sector initiatives, and international trade data by commodity. We are attempting to meet these needs through acquiring existing automated databases on these subjects, such as the UNSO's World Energy and commodity trade databases, or by developing special sectoral profiles in-house. A major constraint AID faces is its reliance upon the macro data gathering activities of other institutions, which limits our control over quality and also over choice of subject matter.^{1/} AID might consider a greater future reliance upon its field Missions for the consistent gathering of macro economic and social statistics on the AID recipient countries.

Much of our future efforts will be directed towards developing more comprehensive and user-friendly software for accessing, analyzing and displaying the databases we have. Efforts are being made to interface the databases with development planning models, statistical analysis and graphics packages, and cost-benefit programs of use to Agency analysts.

^{1/} Exceptions involve special AID-financed macro database development activities implemented by USDA and the Bureau of the Census for AID.

Micro Statistics

AID's needs for micro level data are frequently met by funding new data collection activities, often as components of projects. The datasets developed in this manner are rarely used for secondary analysis purposes due to lack of adequate documentation, quality control, accessibility, or just lack of knowledge of it's existence.

This lack of technical standards/guidance to ensure high quality and reusable micro datasets, plus lack of coordination within AID to increase accessibility of the datasets, has led to low cost effectiveness in AID's data collection activities.

Activities now proposed and/or under development should help reduce wastage and duplication in data collection including:

- * development of a comprehensive inventory of recent micro data collection efforts funded by AID
- * development of contract standards to provide technical guidance and quality control for data collection activities and to ensure that certain standardized products are provided to AID at contract's end.
- * creation of a centralized repository or library for AID funded micro datasets and accompanying documentation provided by contractors.

ECONOMIC AND SOCIAL DATA SERVICES

- **Automated International Statistical
Economic and Social Data Bank**
 - **Country Profiles (ALLDATAs)**
 - **Sector Profiles (Food and Agriculture,
Nutrition, Education)**
 - **A.I.D. Micro-data Inventory**
 - **Computer Graphics**
 - **Statistical Library**
 - **Technical Assistance**
 - **Project Design and Evaluation**
 - **Surveys**
 - **Software Programs**
 - **Statistical Analysis**
 - **Project Document Review**
-

8. VARIOUS ATTEMPTS AT DEFINING AN
AID "INFORMATION POLICY"

memorandum

DATE: November 1, 1983

REPLY TO
ATTN OF: PPC/E-DIU, Haven North

SUBJECT: Development Communications Policy Determination

TO: AA/PPC, Richard A. Derham (Acting)

To the best of my knowledge, PPC/E-DIU has not been consulted during the course of the preparation of the subject policy paper. One of DIU's major responsibilities is to provide A.I.D. experiential information.

I have asked DIU what A.I.D. experience is contained in their computerized project data base on the subject of this policy paper. In putting together a set of terms to capture the concepts, they retrieved over 800 projects with such a component. One of the problems encountered in trying to capture this universe is that the policy paper becomes obscure when it uses the terms communications/information interchangeably. The discussion on communications technologies and A.I.D. experience is straightforward, but when the paper deals with the objectives of the technologies, e.g., information/information dissemination, it is less clear.

We might want to delay approval of this policy paper until a more thorough analysis of A.I.D. experience in the area of "Development Communications" can be undertaken.

Order if we don't have
 In an effort to encourage communication support in projects designed and/or funded by the World Bank, the Bank has issued Heli Perrett's study, *Using Communication Support in Projects: The World Bank's Experience*. The best aspect of this study is the acknowledgement that projects whose aim is to motivate human action in a development activity will benefit from the design and incorporation of a communication component. Dr. Perrett has carefully identified benefits and difficulties, especially within the Bank context; she has provided planning frameworks, support functions, Bank sector experiences, and media selection criteria.

Annexes include communication support spending per Bank project; a "problem analysis" to clarify project needs before building in communication support; a table of advantages and disadvantages of different media and their applications; and the outline of a Bank communication support training course. This is a well-balanced presentation, providing development program planners with the kind of information that makes understandable the nature and purposes of sectoral applications of communications. This World Bank Staff Working Paper Number 551 is available for US\$3.00 from World Bank Publications, 600 19th Street, N.W., Washington, D.C. 20433, USA.

memorandum

DATE: October 31, 1983

REPLY TO
ATTN OF: PPC/E-DIU, Ellen V. Boissevain

SUBJECT: Policy Paper on "Development Communications"

TO: PPC/E-DIU, Maury Brown

If we were to provide Mr. North with information on projects with a "Development Communications" component in our computerized project data base, we would retrieve anywhere between 800 to 900 projects with such a component. I have read this policy paper many times to put together a set of terms that would capture the concepts mentioned in this paper. They range from the technologies, e.g., radio, television, satellites, films, etc. (means), to the broader concepts of information/information dissemination (ends, objectives). The policy paper gives examples of the uses of communications technologies as components of A.I.D. projects which are all documented in our data base. The paper becomes a bit more obscure when it uses the terms communications/information interchangeably.

Guidelines suggested for assistance with development communications/ technologies as a component of projects is fairly straightforward. Under the headings of Program Management and Priority Activities for Central Bureau and Regional Support, the author/authors branch out from technologies to communications "activities" (information) and suggest as activities for support: "1) support for USAIDs in pre-project assessment, planning and project design and evaluation; 2); 3) clearinghouse, network and resource base activities...; 4) selected research and development activities." This could be a point at which the activities of this office could be mentioned in its capacity to provide A.I.D. experiential information in the area of "Development Communications," if we are to be institutionalized.

I am attaching a list of keywords from our thesaurus (suggested by this policy paper) which I have run through our project data base to capture projects with a "Development Communications" component. As you will see, the number of projects with such a component totals 895. I have probably missed some concepts since "development communications" as described in this paper is difficult to get a handle on.

You might be interested in a description of the Communications Clearinghouse project mentioned on page 11 of this policy paper which I am attaching. I am also attaching a description of our own office project entitled "Information as a Tool in Development" which Mr. North might be interested in having at hand.

Enclosures: a/s

POLICY DETERMINATION

Agency for International Development

PD-10

February 17, 1984

DEVELOPMENT COMMUNICATIONS



A.I.D.

POLICY DETERMINATION

DEVELOPMENT COMMUNICATIONS

EXECUTIVE SUMMARY

This Policy Determination provides guidance on the objectives and the conditions under which A.I.D. will support the fuller application of communications technologies in U.S.-assisted development programs. This guidance applies to all Development Assistance-funded programs and, unless otherwise authorized, to programs supported with Economic Support Funds. A.I.D. will seek to assist developing nations in using these technologies as tools in their own development programs and in making informed consumption and investment choices among the available technologies. A.I.D. will also make use of these technologies to reduce costs, extend services and information and increase the effectiveness of projects it supports in all sectors.

A. Summary Statement of Objectives

Communications technologies are powerful tools for development, with substantial potential for (1) reducing rural isolation, (2) increasing the productivity and effectiveness of economic and social development programs, (3) strengthening key private and public sector institutions, and (4) advancing the basic human right of people to have the information needed to make informed personal choices.

The priority for A.I.D. will be "development communications," defined as the application of existing communications technologies and media to problems of development. A.I.D. will also give attention to "communications development," defined as the development of new or additional communications infrastructure and capacity, but will not give priority to investments in infrastructure.

B. Summary Statement of Program Emphases

The emphasis will be on technical assistance and training to support the application of communications to problems of development.

While a substantial increase in support for communications activities is anticipated, A.I.D. does not expect to support communications as a distinct program sector. Most A.I.D. assistance to communications is expected to be as integral components of projects. However, A.I.D. will explore the potential of using communications in all sectors and will include communications components as integral elements of project design wherever appropriate and cost-effective.

C. Summary Statement on Support for Infrastructure

A.I.D. will limit direct investments in communications infrastructure development and will concentrate instead on technical assistance designed to ensure that infrastructure projects are effectively implemented and utilized (e.g., training for key technicians and managers, technical assistance to organizations making use of existing infrastructure).

Support for multi-purpose communications capabilities will be limited to those systems which serve primarily development purposes consistent with CDSS priorities. For example, rural telephony or radio systems may be appropriate for A.I.D. support where the general need to reduce rural isolation and facilitate transmission of information to and from rural areas is a priority strategic task. Other multi-purpose capabilities (for example, government or commercial printing operations, radio/TV broadcasting, journalism, post and telephone/telegraph systems) will generally not be considered appropriate.

D. Summary of Guidance on Program Management

A.I.D. development communications assistance will be primarily on a bilateral project basis. Projects with communications components should be anticipated in CDSS and ABS planning. A.I.D. will assist host country participation in international organizations or regional/international communications infrastructure only indirectly through national institutions and activities in A.I.D.-assisted member countries.

Regional and international activities not involving support for infrastructure, such as regional training programs and information exchange systems, may be supported through Regional or Central Bureau programs.

Priority activities for Central Bureau and Regional support:

- 1) support for USAIDs in pre-project assessment, planning and project design, and project evaluation.
- 2) training and information services for project and program managers on the use of communications technologies.
- 3) clearinghouse, network and resource base activities, including liaison with international communications organizations and programs;
- 4) selected research and development activities;

Activities which serve functions specific to a particular appropriations account will be allocated from that account and attributed in A.I.D. program summaries and reports to the relevant sector. Where large projects serve more than one sector, funding should be split between the accounts to the maximum extent feasible consistent with program management and orderly budgetting requirements. Communications activities of general relevance to all sectors may be funded from Section 105 Education and Human Resources or from Section 106, Special Development Activities.

A.I.D.

POLICY DETERMINATION

DEVELOPMENT COMMUNICATIONS

I. Introduction

For most of the world over most of its history the main means of communication have been the human voice, the written word and various systems of signs and symbols. Over the past few decades additional communications systems which once seemed only remote possibilities have begun to be familiar in developing country towns and villages.

Radio and newspaper coverage has increased. One or both now reach most developing country towns and villages. Telephones and television are available in most of the larger cities. Satellite TV receiving stations are proliferating and telephonic communication systems (terrestrial, microwave and satellite) have begun to link institutions and individuals thousands of miles apart. Increasing use is made of video and audio recording equipment in training and extension systems. Microcomputers, photocopiers and other information technologies are beginning to be available in public and private sector offices.

Over the next decade there is every reason to expect declining costs, increasing availability and diversified application of these and related communications technologies. Communications capabilities will grow dramatically in some countries and much more slowly and unevenly in others.

The emerging technologies, and combinations of these with more familiar technologies, present both major opportunities and new problems throughout the developing world. They are powerful tools for development which can be used to enrich the development environment with diverse types and sources of information. However, they are only tools. Their potential impact on the processes of development depends on the problems to which they are applied and the relevance of the information being communicated. Extending information which is not fully relevant to people's needs or through channels which people do not trust to be factually correct and unbiased is likely to be a very expensive and relatively futile exercise at best and can seriously distort and impede the development process.

[For a summary of A.I.D.'s current activities in the area of communications, see A.I.D. and Development Communications, S&T/Office of Education, August, 1983]

A.I.D. has made extensive use of radio as a cost-effective means of extending information for diverse populations (e.g. rural mothers, farmers and primary school students) and diverse subjects (e.g. mathematics, agriculture, family planning and oral rehydration therapy for diarrheal diseases).

A.I.D.-supported experimentation with both satellite and terrestrial telecommunications systems is helping to speed the exchange of developmentally important information and data over great distances and among multiple participants, linking research institutions and universities, facilitating technical and business teleconferencing. In short, the potential for using communications technologies to help resolve a wide range of development problems has been demonstrated. A.I.D. is in a strong position to provide further leadership, reflecting over a decade of experience with the experimental application of communications in development.

This Policy Determination provides guidance on the objectives and the conditions under which A.I.D. will support the fuller application of these technologies in U.S. development assistance programs. This guidance applies to all Development Assistance-funded programs and, unless otherwise authorized, to programs supported with Economic Support Funds. A.I.D. will seek to assist developing nations in using these technologies as tools in their own development programs and in making informed consumption and investment choices among the available technologies. A.I.D. will also make use of these technologies to reduce costs, extend services and information and increase the effectiveness of projects it supports in all sectors.

II. Objectives of AID Communications Assistance

A. Summary Statement

Communications technologies are powerful tools for development, with substantial potential for (1) reducing rural isolation, (2) increasing the productivity and effectiveness of economic and social development programs, (3) strengthening key private and public sector institutions, and (4) advancing the basic human right of people to have the information needed to make informed personal choices.

The priority for A.I.D. will be "development communications," defined as the application of existing communications technologies and media to problems of development. A.I.D. will also give attention to "communications development," defined as the development of new or additional communications infrastructure and capacity, but will not give priority to investments in infrastructure.

-3-

B. A.I.D.'s general objectives are:

- 1) to ensure the effective implementation of A.I.D.-supported projects and programs in all sectors. Communication of information is a key implementation objective for most projects and communications technologies are tools to be used in implementation;
- 2) to assist countries in making sound technical and policy decisions as they consider major investments in new communications capacities, establish public policy and administrative frameworks for communications systems and use communications in their own development programs.
- 3) to contribute to broad foreign policy objectives, including encouraging the development of communications systems in all countries which respect the principles of the free flow of information and maintaining U.S. access to valuable global communications resources such as frequencies and orbital slots. Ensuring that developing countries are able to obtain communications technologies and technical assistance to address their own communications needs contributes to these objectives.

C. More specific objectives include encouraging the use of communications and information technologies to:

- 1) Reduce the physical isolation of rural communities. Basic communications capacities such as telephones, newspapers and radio broadcasting as well as newer technologies such as electronic data transmission and satellite television change the social and economic dynamics of rural communities in indeterminate but powerful ways. As individuals and institutions become better able to obtain and share information outside their immediate community new personal and institutional relationships become possible, additional services become feasible, businesses can function as part of larger markets and the quality-of-life improves.
- 2) Diversify the types and amounts of information available to individuals, thereby increasing the ability of individuals to make informed personal choices. The fullest possible access to information by all participants is essential to the efficient functioning of competitive markets. Projects with major communications components should ensure that as wide a range of technical information and alternative viewpoints as possible is disseminated.

3) Diversify the sources and channels of information available to individuals and groups, thereby increasing the competition of ideas and the free flow of information. Project designers must select among the available options and most projects will make use of only one or two communication channels or media to serve a specific purpose or audience. Nevertheless, A.I.D. will stress the importance of diversifying information channels and facilitating the broadest possible access to existing communications media both in the selection of projects and in technical assistance for overall system planning and assessment.

4) Increase the productivity and effectiveness of economic and social development programs and projects in all sectors supported by A.I.D. by:

a) extending information and services cost-effectively to additional clients;

b) providing in-service training and other support services to field workers; and

c) strengthening administrative, logistic and management systems, using communications technologies to link dispersed components and field workers. Such linkages may help to reduce operational costs (staff time, transportation, administrative paperwork) even where no new functions are added.

5) Support private sector investment and entrepreneurship in communications-related activities. As communications capacities expand and diversify, a wide range of commercial services may emerge, both supplying goods and services to communications systems and adapting the communications capacity to new purposes. While A.I.D. resources will not be used for direct investment in or subsidy of private sector initiatives, private sector investment and entrepreneurship in communications-related activities may be supported through:

a) technical assistance, training and advisory services to the private sector;

b) utilizing private sector suppliers of communications goods and services needed for project implementation;

c) utilizing private communication channels where they exist (e.g. privately-owned newspapers) for disseminating project-related information; and

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d) policy dialogue, technical assistance and training to assist countries in developing (1) public policy for communications and (2) administrative and technical support systems which facilitate competitive purchase of equipment and services, competitive sponsorship and ownership of communications media and access by private individuals and enterprises to publicly owned and managed telecommunications infrastructure.

III. AID's Development Communications Emphases

A. Summary Statement

The largest part of A.I.D. assistance to communications is expected to be as integral components of projects in each of the development sectors in which A.I.D. works. While a substantial increase in support for communications activities is anticipated, A.I.D. does not expect to support communications as a distinct program sector.

B. Discussion

Communications technologies have applications in all sectors. A.I.D. will explore the potential of using communications in all sectors and will integrate communications components in projects wherever appropriate and cost-effective. Means of using communications to accomplish program or project objectives should be considered along with other options during the initial planning and design processes. However, A.I.D. will not encourage the addition of communications components unrelated to sector strategies and project purposes.

Bilateral projects with the specific purpose of assisting communications as a sector or of strengthening communications institutions and infrastructure will be approved only when identified as a need in CDSS and related analyses.

Centrally-funded programs will continue to (1) support research, development and experimentation on selected aspects of communications, (2) facilitate international exchange of technical information and experience with communications applications and (3) provide technical support to missions in the design and evaluation of communications components for projects in all sectors. In addition, Central Bureaus will continue to be responsible for articulating Agency policy and strategy for development communications both internally and through liaison with other U.S. Government, international and private sector organizations with interests in communications.

C. Components to be considered include:

- 1) technical assistance to improve project implementation:
 - design, planning and equipment selection;
 - training for local project staff (technicians responsible for installation, operation and maintenance; content specialists responsible for software design and development; managers responsible for system planning, operations and evaluation).
 - in-service training for project field workers as needed to provide them with skills to use communications technologies and processes effectively
- 2) equipment and commodity inputs to the extent needed as direct inputs to the assisted project
- 3) selected additions to communications infrastructure as needed to facilitate project objectives
- 4) partial support for operational costs of the communications component during the developmental or experimental phases

D. Project design and selection considerations:

- 1) support for development communications should focus on specific applications in functional sectors such as agriculture, education, health, nutrition and population.
- 2) the primary purpose of the communications activity should be developmental. While communications capacities will often have secondary purposes including entertainment and the dissemination of general information (e.g., newspapers and radio/TV broadcasting) the developmental impact of the increased communications capacities must be sufficient to justify A.I.D.'s investment independent of such secondary purposes.
- 3) where communications components are included as a response to an institutional constraint (e.g., fragmented authority) or as a substitute for other project inputs (e.g., as a substitute for improved textbook supply), economic and institutional analysis should examine the cost-effectiveness of the communications components as compared with other options for resolving the same constraint.

-7-

4) the entire range of communications technologies and media is appropriate for support. There is growing interest in the potential of advanced technologies such as satellite telecommunications and computer-assisted information processing. A.I.D. will support both research and development and project applications of these technologies. However, it will also continue to support both R&D and project applications of more familiar technologies such as radio and print, which have been demonstrated to be cost-effective in many applications and to have important technical advantages such as mobility, ease of maintenance and relatively less requirement of highly skilled technicians for implementation.

5) selection of appropriate communications technology should reflect a design process based primarily on the characteristics of the beneficiaries, their informational needs and the development objectives of the activity. Design processes based primarily on a desire to explore the potentials of the technology are inappropriate and can often lead to activities which are neither cost-effective nor developmentally relevant.

6) A.I.D.-supported development communications activities should be consistent with A.I.D.'s objectives of increasing decentralization and community participation in development decisions. Two-way or interactive communication systems (using interactive technologies or combinations of one-way technologies) which facilitate feedback from the receiving and using audiences and/or which enable individuals or groups to initiate their own messages and requests for information are generally to be preferred over one-way communications and extension systems. It is particularly important to ensure participation of and feedback from the intended audience(s) in the design of systems and in the ongoing development of programming and services.

7) the information and/or the communications components of the activity should be made as widely accessible as is technically feasible and cost-effective. They should contribute to a net increase in the quantity, diversity and quality of information to the primary beneficiaries (for most purposes defined as individuals in households and the productive workforce).

8) in general, the more limited the range of communications channels the greater will be A.I.D.'s concern for ensuring diversity and balance in the content. Where existing channels are closely controlled (whether by governments or by private factions and

special interests) such that developmentally important information is being distorted or ineffectively disseminated, A.I.D. will give attention to means of establishing additional or alternative channels.

9) Essential to the efficient functioning of competitive market economies is the fullest possible access to information by all participants. See items 6,7,8 above for guidance. Other means by which A.I.D.-supported development communications activities will support private sector objectives include:

- a. assisting countries to establish public policies and administrative mechanisms for communications infrastructure which minimize public subsidy while encouraging diverse use and wide access.
- b. ensuring that the private sector has access to information being disseminated through government channels, particularly information disseminated by A.I.D.-assisted projects.
- c. ensuring that the private sector (both in the U.S. and in the assisted country) has opportunity to compete to provide project-related training, technical assistance and other communications goods and services.
- d. including technical assistance directed to the LDC private sector to identify ways to use communications to improve productivity.
- e. encouraging private initiatives in communications services such as privately owned and managed radio, printing and newspaper facilities as well as in the provision of goods and services to the communications sector.

IV. Guidelines for Infrastructure Support

A. Summary Statement

AID's development communications activities will limit direct investments in infrastructure development and will concentrate instead on technical assistance designed to ensure that infrastructure projects are effectively implemented and utilized (e.g., training for key technicians and managers, technical assistance to organizations making use of existing infrastructure).

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B. Discussion

In most cases AID will not provide direct support for general purpose communications infrastructure such as telephone switching systems, radio or television broadcasting facilities, communications satellites and groundstations, postal or telegraph systems, printing and publishing industries.

A.I.D. fully recognizes the importance of such infrastructure. However, several considerations require A.I.D. to limit communications infrastructure investments in most countries.

--most missions do not have the resources to fund such infrastructure on the scale required, especially in view of the recurrent costs of operation and maintenance (See Recurrent Costs Policy Paper for additional guidance). Those missions able to commit the necessary resources should apply the same criteria as for other capital projects.

--other financing mechanisms (both conventional and concessional) exist for communications infrastructure, as for other types of capital infrastructure.

--in most countries, the government plays a major role in the establishment and maintenance of communications infrastructure. Typically, the government exerts a substantial amount of control over content of and access to such general purpose communications systems as radio/television broadcasting and government printing capacities. Any A.I.D. investment in strengthening such systems must be done with the greatest care and generally will be limited to those elements of infrastructure which must be added to enable specific activities in sectors assisted by A.I.D. to be implemented effectively or efficiently.

C. Guidance on Infrastructure Components

A.I.D. assistance for the development of communications infrastructure will concentrate on the provision of technical assistance and training to help countries (1) assess their technology needs both for specific sectors or functions and for entire communications systems, (2) plan for infrastructure expansion and (3) develop operational and maintenance skills for existing as well as new infrastructure. Technical assistance and training involving managers and decision-makers responsible for general purpose communications infrastructure will emphasize the transfer of skills and experience leading to more effective use of communications in the development process.

While capital assistance will be limited in most cases, technical assistance may be appropriate in selected cases in support of communications systems which address development constraints given priority in the CDSS. For example, rural telephone or radio systems may be appropriate for A.I.D. support where the general need to reduce rural isolation and facilitate transmission of information to and from rural areas is a priority strategic task. Other multi-purpose capabilities (for example, government or commercial printing operations, radio/TV broadcasting, journalism, post and telephone/telegraph systems) will generally not be considered appropriate.

A.I.D. financing for communications infrastructure investments generally will be limited to meeting specific project implementation requirements. This may include "add-ons" of specialized equipment or facilities to establish capacities for development activities additional to those normally provided by the existing system. For example, while in most cases AID would not provide capital or operational funding for a general purpose radio/TV broadcast capacity, it could justify additions to existing capacity (e.g., production studios, audio and video tape duplicating equipment, ground receiving stations) to enable developmental materials to be prepared for broadcast or received from broadcast signals.

V. Guidance on Program Management

A. Bilateral Assistance

A.I.D. assistance for development communications will be primarily on a bilateral project basis. This means that:

- 1) A.I.D. assistance should be anticipated in CDSS and ABS planning along with other assistance requirements, beginning with the submissions for FY 1986;
- 2) A.I.D. assistance should be limited to activities requiring investments or expenditures in or by the A.I.D.-assisted countries, and should exclude any A.I.D. financing of host country participation fees or membership contributions in international organizations or regional/international communications infrastructure and;
- 3) A.I.D. assistance for regional communications activities (e.g., regional telecommunications networks or regional satellites) should be implemented through national institutions and should support activities in A.I.D.-assisted member countries.

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While assistance will be mainly on a bilateral basis, A.I.D. will continue to coordinate its research and development activities and otherwise to maintain close liaison with regional, multilateral and international communications programs (e.g. International Program for the Development of Communications), services (e.g. INTELSAT and COMSAT) and administrative bodies (e.g. International Telecommunications Union).

B. Central Support Functions

In addition to the liaison functions described above, Central Bureau and Regional support for development communications activities will concentrate on technical support and backstopping for the bilateral development communications activities. Priority activities include:

- 1) support for USAIDs in pre-project assessment and program planning and in project design and evaluation. Central Bureau support functions should be structured to provide technical assistance to USAIDs for communications applications in all sectors.
- 2) training and information services for project officers and program managers in all sectors to keep them aware of technological advances and the potential for use of communications technologies. As A.I.D. encourages the fuller use of communications technologies, this will be an increasingly important central support role.
- 3) support for clearinghouse, network and resource base activities that emphasize cost-effective utilization of communications in support of AID program objectives.
- 4) support for selected research and development activities related to anticipated or potential communications applications and/or solution of recurrent problems in the cost-effective application of communications technologies in development;

C. Attribution by Funding Account and Sector

Funding for development communications activities will be according to the sector of primary application. Central and Regional Bureau support functions and communications activities of general relevance to all sectors (for example, the Communications Clearinghouse and the Communications Studies and Applications Project) will continue to be funded from Section 105 Education and Human Resources. However, centrally-managed communications activities which primarily serve one sector or functions specific to a particular appropriations account will

be allocated from that account and attributed in A.I.D. program summaries and reports to the relevant sector. Where large projects serve more than one sector or functions specific to more than one appropriations account, funding should be split between the accounts to the maximum extent feasible consistent with program management and orderly budgeting requirements. Where it is not possible or desirable to allocate funding to a functional account, funding under Section 106, Special Development Activities, should be considered. Similarly, projects funded under the Economic Support Fund or Sahel Development Program should be classified by purpose according to the sector(s) of primary application.

Approve *FBK*

Disapprove _____

Date Feb 17, 1984

September 3, 1982

S&T/DIU, Lida L. Allen

A.I.D. Information Policy Development

PPC/PDPR, Mr. John Eriksson
Room 3829, N.S.

Information is made up of words, data and images. Modern technology has revolutionized the process and use of information. In a remote area, we can access the data bases of the world and be supplied with the precise information we need, perhaps condensing what may once have been years of search and research effort into a few hours. Because of the high technological sophistication in dealing with information, it is particularly important that AID as an organization should establish an information management policy in order to maximize the resources applied to information activities.

Every component of AID, in some fashion, is generating and consuming information every minute. A uniform and harmonious approach in gathering, recording, organizing, transferring, disseminating and storing of information would result in better utilization of existing data available from both internal and external resources, and avoid duplication of efforts in project design and implementation.

In general, information can be divided into textual material or statistical data. But there are many different media through which the information is being conveyed. They are:

1. Printed and published materials -- program and project documents, evaluation technical reports, conference proceedings, books, journal articles, newsletters, etc.
2. Management & budgetary information systems.
3. Specialized data bases.
4. Audio-visual, computer tape/disc, and micrographic products.
5. Inventories of software programs, data sets, development resources.

6. Networks of information/documentation centers and libraries.

7. Information clearinghouses.

While information is very popular and is often required in every step of a development assistance program, it cannot be uniquely identified as a subject field, such as agriculture, population, education or health, nor can it be confined to an organizational unit or a geographic location. Consequently, information lacks its "constituency" and suffers a "non-identity" syndrome. For instance, a ten million dollar energy assessment project only plans to spend 15 thousand on information and documentation activities, and another project is willing to spend a couple of millions on "state-of-the-art" studies but no budget for dissemination or utilization of such information created by the studies.

I believe therefore, that to develop a comprehensive Agency policy to guide both the "supply" and the "demand" sides of information operations, programs and projects is a timely endeavor. Whether we can put all this into one policy, however, is the question.

cc: DAA/S&T, C. Farrar
S&T/TRI, L. Smith
S&T/DIU/ESDS, A Binnendijk
S&T/DIU, L. White

Status → Newer followed through

August 23, 1982

DRAFT

MEMORANDUM

TO : See Distribution
FROM : AA/PPC, John R. Bolton
SUBJECT: A.I.D. Information Policy Development

As you know, A.I.D. as an institution has a variety of requirements for information. We require detailed obligation and expenditure information for financial management, aggregated program and budgetary information for Congressional reporting, analytical information for program and project planning and for policy formulation, and both financial and non-financial program information for project monitoring and evaluation. Much, although not all, of this information is quantitative. As the Assistant Administrator for PPC, I quickly became aware of the importance of having good information, well-used and cogently reported, for policy papers, CDSSs and projects. Definitions of target groups, measurement of progress and performance; economic, social and other analyses in project design; and assessment of priorities all require specific types and levels of information.

Policy, budget and project development and implementation guidance place a tremendous burden on Bureaus and Missions to collect, store, and utilize the necessary information. Some Missions have dealt extremely well with their information requirements and have given us solid, positive evidence of the utility of better information. Country Development Strategy Statements (CDSSs) show evidence of better problem identification and tighter program focus; projects show evidence of detailed analysis of options and selection of feasible interventions. Budget studies prepared by my own staff have demonstrated the usefulness of analyses using both budget and substantive program information in an integrated manner. Evaluations show the importance of Missions' management monitoring of substantive performance indicators as well as financial, personnel and related "internal" management information.

In the most recent outline of Handbook 1, I have, therefore, included a policy paper on information for development. Recognizing that responsibility for various aspects of A.I.D.'s information use and management rests with different operational units within A.I.D., and that different kinds of information are needed and used by A.I.D. for both analytical and operational purposes, I wish to invite your participation in the development of such a policy, as I will detail below.

I envision that an information policy would provide a broad statement on AID's roles and objectives (a) in providing support for information collection, storage, and use in developing countries and (b) in improving AID's internal collection of, access to and use of quantitative information. Such a policy would deal with such issues as:

- Matching information needs to the appropriate level of data. What kinds of information are needed? When, and by whom? National-level data may be needed for macroeconomic analyses, for example, while regional or sectoral data may be required for project-level economic analyses. Project planners may need rapid access to already existing data while those in charge of project evaluations may need cost-effective data systems for baseline assessment and monitoring.

In turn, this policy framework will have implications for detailing the appropriate kinds of data to be collected and proper methods of collection and storage as well as for the analyses and subsequent programming decisions. I would anticipate that the units in AID now charged with setting specific guidance in these areas would continue to do so, but with a firmer mandate growing out of the established desirability of matching appropriate level data to the diversity of Agency requirements.

- LDC institution-building and technology transfer. The issues of appropriate level data for a number of levels of analysis and planning apply both to developing countries and to AID. Building public and private sector statistical capacities in LDCs may address one need, while transferring technology to staffs of technical ministries in a specific area of project analysis or management may meet another. The extent of AID's commitment to assisting in building LDC institutional capacity in the important area of information collection and management should be addressed in the policy formulation process. The role which AID can play in transferring information-related technology should be defined.
- The linkage between information handling and analysis functions. The RAPID program demonstrated that the ability to look at various possible outcomes is particularly useful to decision-makers. Analysts thoroughly familiar with their data bases can better understand weaknesses and strengths and can design analyses, proposed policies and interventions in keeping with the state of knowledge.

- The organizational issues which AID as a donor must address in its handling of information. While, on the one hand, AID would opt for completely free access to needed information, as a bilateral donor working with other sovereign governments, AID must be aware of possible problems with regard to confidentiality and data ownership. Examination of existing Federal regulations and current AID information procedures will provide the basis for articulation of a clear and feasible policy in this area. Host governments may have similar laws and regulations that AID and other donors must take into account. (While they may raise sensitive issues, it is certainly legitimate for AID to raise such regulations in its policy dialogue with host governments if we feel access to development information is thereby being unduly restricted.)

- The linkage between development information for analysis and program information for management. AID must consider the ways in which it can most cost-effectively handle its requirements for data for activities such as program strategy and project design on the one hand and data for program budget, financial management and project implementation monitoring on the other. There is a tendency to perceive these as two opposing categories of activity, but the policy paper should clarify the many interrelationships between them. For example, program strategies are highly dependent on budgetary resources. Thus, up-to-date budget information and projections are germane to preparing a CDSS, and to dialogue with host countries. Another example might be assuring the versatility of the Agency's automated data equipment to meet diverse needs for financial management, personnel management, project monitoring, budgeting and analytical efforts. Again, I would expect that the policy paper will point the way toward more integrated analyses based on such information and provide a basis for further refinement and implementation by the individual offices in whose mandate they fall.

I am sure that as the process of policy formulation gets underway, many other issues will surface. There will also, of course, be serious operational implications for whatever policy course is chosen. To ensure that a sufficiently wide range of perspectives are considered in the policy development process, I propose that a senior level working group on information policy be convened in the near future. I anticipate that the more technical discussions and the evaluative work which will underpin the actual drafting of the

Was it ever convened? NO

policy will be done by our staffs, either in one or a series of subcommittees.

I recognize that the Bureau for Science and Technology's Office of Technical Review and Information, and the Bureau for Management's Office of Data Management have special responsibilities in the area of information. I would expect significant involvement on the parts of these offices. For example, there is currently a tremendous amount of interest among all our staffs in the potential for microcomputers to improve analytical and management capability. This has recently been codified into two Microcomputer Task Forces, one chaired by the Bureau for Management and one chaired by the Science and Technology Bureau. Another example is the scope of work that S&T/TRI/ESDS has recently drafted with the objective of improving AID guidance on non-financial data collection. The scope includes such items as contracting standards, archiving policy and provision of technical assistance to LDC institutions. I view these activities as an integral part of the overall effort in information policy development, but wish to ensure that it is a well-coordinated effort; thus I would ask that you place high priority on your Bureau's participation.

Distribution

AA/M, Mr. Rollis
AA/S&T, Dr. Brady
AA/AFR, Mr. Ruddy
AA/ASIA, Mr. Greenleaf
AA/LAC, Mr. Reich
AA/NE, Ms. Ford
AA/FVA, Ms. Bloch
AA/PRE, Ms. DuPont

MEMORANDUM

September 14, 1981

TO: S&T/DIU, Ms. Lida Allen
FROM: S&T/SSSA, John Daly *JD*
SUBJECT: AID Information Facility

*Re: AID Information Facility
AID Research Materials*

I would like to thank you for the experience of working on the evaluation of the proposals received for this project. The project, itself, is exciting and I learned a great deal in the process. The other four members of the review team were a pleasure to work with.

In the process of studying the request for proposals and reviewing the proposals, several ideas occurred to me that I'd like to share with you.

1. The AID central data base (DIS, RANDD, ADDS) is potentially useful to the 20 LDC's that will receive it, but the information transfer would be enormously enhanced if data bases from other AID clearinghouses (e.g., Population, Development Communications, Arid Lands) were also provided to these facilities. In some cases where clearinghouses are highly automated and already utilize microfiche copy of original documents, inclusion of the data base in this project would be relatively low-cost. I suggest the contractor look into this possibility.
2. More generally, it would appear very desirable to standardize certain aspects of all our clearinghouses so that DIU and its overseas clients could fully utilize their materials. For example, microfiche format and quality and DBMS software (MINISIS ?) could be common for all clearinghouses. It would be possible to further standardize on the AID thesaurus, or at least seek that the structure of higher order terms in AID clearinghouses reflected the AID thesaurus hierarchy. I suspect that such standardization could be profitably discussed at an S&T Bureau Senior Staff Meeting.
3. Not all the files in the AID Information Facility should be sent overseas. The attached table suggests files for AID Washington and LDCs, and the rationale for the recommendations. Documentation for the systems should, of course, reflect the actual configuration for the user, so system documentation (Phase I of the project) should be modular, allowing those pieces to be selected that pertain to Washington, to an AID mission, or to an LDC center. (Similarly, the acquisitions and user service manuals should be tailored to the facility requirement.)
4. The thesaurus and abstracts are primarily to serve AID users, and you will find a great deal of concern at the working level that an improved system really serves user needs. Many people in AID have very clear understandings of the substantive facets of the thesaurus and of AID management requirements for project and program data. I suggest that you formally

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involve these people in the project, through the creation of an inter-bureau committee of working-level professionals. These people would provide guidance to the lexicographer in developing the thesaurus and would help to assure that new abstracting standards were appropriate to AID needs.

Attachment: a/s

cc: S&T/DIU, D. Donovan ,

Washington /Mission FileLDC FileRationale

Program Information	None	All this information should be part of the AID memory.
<ul style="list-style-type: none">- sector strategy statements- CDSS, CPSS- ABS- CP- sector assessments		It is confidential to AID and host countries and should not be indiscriminately shared with third countries.
<hr/>		
Project Information	None	Same as above.
<ul style="list-style-type: none">- PID- PP- evaluations- miscellaneous project reports- contractor reports- etc.		
<hr/>		
Research and Development Reports	All	This file would provide access to the information products of the AID program. Its dissemination is an important part of the utilization function.
<ul style="list-style-type: none">- research reports- sector assessments (nonclassified)- state-of-the-art studies- studies- etc.		
<hr/>		
Key informants, consultants and other professionals	None	I assume there are privacy act restrictions on sharing this information with outside agencies.
<ul style="list-style-type: none">- listed as resource people in project papers- in AID (from annual survey of field assistance capability)- from consultant rosters developed by government agencies (USDA, HHS, etc.) for RSSA services- from consultant rosters developed by Title XII- from consultant rosters developed by AID contractors (APHA, LIFE, NAS, etc.) ?	<ul style="list-style-type: none">- provide software- encourage networking among LDC centers	The open publication of the lists would imply endorsement by AID, which is dangerous. Promoting such lists in LDCs of their nationals, and networking these would promote technical cooperation among developing countries.

Washington/Mission File	LDC File	Rationale
Technical Literature in development - bibliographic material from program and project documentation - bibliographic material from AID R&D reports - selected materials from periodicals and books in the AID library	All	This documentation is of proven utility in the AID management process and shall be widely available in AID. It may be useful to LDCs, and there is no reason not to share it.
AID Document Dissemination list (SDI file)	None - provide software	Privacy act concerns
AID Thesaurus/Concordance and Authority lists	- reduce software support - eliminate authority lists for files not included in LDC package	Users in LDC should not be modifying the thesaurus for the AID supplied files since poorly controlled efforts would reduce search capacity.
Housekeeping Files - periodical subscription files - document processing control files - etc.	None - provide software if requested	These are files to facilitate management of the AID Facility and are not of use to LDCs, but the software might be of use to help improve their management.

MEMORANDUM

July 30, 1981

TO : SAA/S&T, Mr. Curtis Farrar, Acting

FROM : S&T/DIU, Lida L. Allen

SUBJECT: Development Information Policy and Strategy for AID

Attached are a proposed expression of a Development Information Policy and Strategy for AID and a Utilization Approach for Development Information. A portion of the latter should be incorporated with the policy, but we need your and Dr. Brady's guidance on this task, for we want a policy which can be realistically carried out within the Agency.

I realize that we cannot assume the position of priority that AID's policy may take within the Agency. I am very much aware of the grim realities of resource constraints. My real concern is that we adequately convey the unanimous positive support for this Office's function expressed by the Regional Bureaus at the ABS review. In other words, the people who support us are just those to whom we have been providing increasing information services to on a priority basis.

The cost and efficiency effectiveness of maintaining a modern, innovative development information activity within AID should be obvious to us and has been adequately demonstrated in NASA, USDA, Department of Commerce and private industry. It is not logical for DIU to be in a constant "competition for money", position with project activities which are creating new resources and answering new technical demands. DIU will perpetually lose. However, building in a small percentage (2-5%) in every research project, (for example) for information utilization activities to be jointly managed with DIU might serve to reduce the overt demands on the central budget.

In summary, if AID wishes to enter the modern world of information management, the office to carry this out should not be an awkward stepchild or an "unrelated" appendage to an organization, but should be an "up front" recognized permanent function providing services to and receiving support from the whole Agency. There is much to be done. We would like the opportunity to do it.

Attachments:

1. Development Information Policy and Strategy
2. A Utilization Approach for Development Information

Suggested Policy ElementsPrinciples

1. There are extraordinary amounts of experiential and technical information pertinent to development which have been developed over more than 30 years and are available in A.I.D. and from other U.S. and worldwide sources.
2. The timely availability of relevant information is essential for the designer and implementor/end-user to create and carry out efficient and economical development activities particularly in support of technology transfer and adaptation.
3. The sheer bulk of information availability makes conventional distribution/dissemination techniques inadequate and therefore, information needs must be met by sophisticated, efficient, search, synthesis, analysis tailoring and targetting activities which, in turn, are only possible through end-user's awareness of resources and resultant end-user's expressed demand on these resources.

Policy

On the assumption that A.I.D. considers the rapid provision and dissemination of relevant development information (including economic and social data) to project designers, implementors and LDC end-users an indispensable element in the development process, and the building of LDC institutions and the training of individuals in handling technical information are also priority tasks.

A.I.D. Will -

1. Create and maintain a record "institutional memory" of experiential and technical information generated by A.I.D. and predecessor agencies using the most efficient automated data processing and other modern information management techniques compatible with other information systems.
2. Create awareness of and facilitate access to other sources of scientific and technical information (automated and non-automated) available worldwide.

3. Systematically exchange development information and social-economic data with LDCs, FVOs, and appropriate national, regional and international organizations.
4. Carry out awareness and outreach activities regarding development information availabilities in order to stimulate timely and educated demand from, as well as dialogue with, target audiences involved in development worldwide.
5. Maintain priorities for target audiences as follows:
 - A. AID/W and AID Mission Personnel. (Including Congressional and Executive requests).
 - B. Peace Corps Personnel.
 - C. Private Voluntary Organizations.
 - D. Contractors (including universities) with A.I.D.
 - E. LDC Institutions and Individuals.
 - F. Other Donor Organizations and Institutions.
 - G. The Public.
6. Provide development information services to the above listed priority audiences including responses to requests, information searches, data analyses, consultations, technical assistance, outreach publications etc., in the most efficient and expeditious manner feasible.
7. Carry out through a variety of innovative approaches, efforts to increase the knowledge of the techniques involved in technology transfer to the LDCs and act upon that knowledge throughout AID to help assure that AID generated information is developed in a form designed for maximum utilization.

(NOTE: I assume you are aware of the Clearinghouse Proposal now in RFP. This will modernize and combine under one contract our acquisition, processing, reproducing and dissemination of development information materials, also the present DIS and RANDD data banks will be combined, access improved and compatibility with other systems assured. We would be glad to provide you with full details.)

A UTILIZATION APPROACH
FOR
DEVELOPMENT INFORMATION

July 30, 1981

INTRODUCTION

It has been very difficult to find a common ground for a definition of the term Utilization. In the name of utilization, the research contractor can fulfill his obligation with delivery of the requisite final report copies to the Contract Office; a university research group will disseminate its findings to its technical and professional peers; a technical office will distribute its reports to their related field technicians; the librarian will catalogue, microfiche, place the information item on the reference shelves and enter it in a databank, and eventually include it in a bibliographic listing. All of these are elements of utilization but neither individually or collectively represent Utilization as it must be conceived of in present day terms. It must also be acknowledged that, given the mass of information resources available, modern information management techniques and up-to-date means of access to the knowledge are obvious preconditions for efficient utilization activities.

Utilization for DIU consists of the promotion and delivery of relevant development information to those involved in development. It includes creative outreach and awareness activities as well as information selection, audience targetting, building of demand and, as a primary goal, efficient fast service to the end-user/requestor.

CURRENT SITUATION

DIU's objective since its inception, has been to provide central support to Missions and Bureaus in development information management and utilization as well as similar support to selected counterpart institutions and organizations in the LDCs. In the Ladenheim Study (November 1979) carried out in Washington, Africa and Latin America, the field expressed most often the following as their perceptions of their information needs:

- .. Don't swamp us with materials.
- .. Give us materials focussed on our specific needs.
- .. We need a single place of which to request information.
- .. We need answers fast.
- .. The staff (including contractors and PVOs) need training in the "Where and How" of procuring relevant information.

DIU has been relatively successful (given personnel, money and other constraints over the past 2-3 years) in implementing awareness and outreach devices which have built credibility and demand for all our services virtually beyond our present capacity to fulfill.

Reflecting the Ladenheim Study, special care has been given to limiting publications for general distribution by stringent utility criteria, i.e., the Directory of Indefinite Quantity Contracts, and by building in a request-only mechanism for publications and general information, i.e., AID Resources Report and user-generated Development Information Center (DIC) inquiries. Even so, AID Resources Report requests have gone from documents requested by 387 users in June 1980 to documents requested by 548 users in June 1981. Similarly, DIC priority requests (AID/W, Missions and Contractors) have risen from 372 in June 1980 to 471 in June 1981. Extreme care has been exercised in focussing on the field's specific needs. Where documents are felt to have specific application only they are addressed by name to the Mission official or technical officer involved, usually with a cover letter explaining the distribution. By far the greatest number of documents are distributed as a result of either in-person or written request. Through briefings of orientation groups, IDI seminars and the Development Studies Program as well as through materials received in the field, DIU has become the recognized source for information beyond the technical office concerned. One problem which constantly remains is the need for answers fast. While the actual turnaround is targetted at no more than one week, the mail time alone can add weeks to user receipt. This problem will need continuing study and improvement. Among the factors listed in the Ladenheim Study, the most difficult has been in training on the procurement of relevant information. Budget, staff and travel restrictions have made any significant effort in the area impossible.

Other activities need to be undertaken and new approaches evaluated. Additionally, DIU should be able to provide more support to management on information flow analyses, multi-year information requirement projections, etc. A coherent information policy expression and stable Agency-wide support would allow this Office to reach that maturity.

The cost of the most ambitious program for promotion and delivery, i.e., utilization, of development information is minuscule compared to the initial research and analysis costs of developing that information. Some of the suggestions to meet the "utilization challenge" over the next five years are presented below, most of them directly from a paper by Earle G. Lawrence of the Utilization Division.

1. Outreach for the Development Information Centers

AID's greatest success in using reference services and data bases has been with clearinghouses or information analysis centers where professional communication skills are used to tailor information for specific user groups.

Proactive information (1) meets immediate information needs of users, (2) links users to resources so that they are made aware of the importance of technical information and information about how to access these services.

Through outreach, the passive reference services receive feedback which is essential to the improvement of their products.

Project: Publication of service awareness brochures; Development of special articles for Agency publications; creation of video and print media packages for missions and training programs; new emphasis on project experience packages; a periodic acquisitions report; ARDA; and re-vitalized effort to develop the ADDS system with more sophisticated sorting capability.

The field support publications contractor could handle this activity with an additional \$400,000 in the first (start-up) year and with \$250,000 per year thereafter.

2. Outreach for the Science and Technology Bureau

Effective research and extension institutions all over the world have found a strong "communications" office essential to accomplishing their tasks of achieving rapid and efficient flow of scientific information and penetration of technology transfer institutions with "how to" information. Preliminary efforts in this area carried out on a limited scale by DIU on behalf of the S&T Bureau have produced a track record of successful activities, such as the Resources Report and Directories series. The knowledge Synthesis project and USDA RSSA have also made contributions in this program area.

Unlike projects carried out by the original research contractor or those conceived of within specific sectors to transfer knowledge, the DIU approach on this activity has a distinct orientation which has led to success. The communicators involved in these activities work from the bottom up. They start with their client's (AID missions and LDC counterpart institutions) immediate information needs and work on behalf of the consumer to meet his demands.

Projects:

(1). Special Publications. This activity would include the Resources Report, Special Directories and field experience reports. Finance should be kept at a fixed (and small) percentage of the total research portfolio. A credible job could be done for \$1,000,000 to \$1,500,000 annually. The field support publications contractor could handle this activity.

(2). Four clearinghouses should be established to handle specialized field inquiries and produce technician level "how to" information in these fields:

- (a). Food and Agriculture.
- (b). Health and Population.
- (c). Energy and Natural Resources.
- (d). Human Resources.

The projects should be jointly managed by DIU and the technical offices, and should take advantage of existing sector or problem specific clearinghouses through networking grants and sub-contracts. In Office "a" the existing USDA RSSA could be expanded to handle this full Scope of Work. This would require increasing current spending levels of about \$300,000 per year to \$650,000 per year. The other three clearinghouses would require similar levels of support.

3. Updating Communication Method for AID

The technology exists for rural development officers in our missions to search our project experience files, receive an instantaneous printout of a PP of interest and communicate directly with the former project manager located on a different continent -- all without leaving his desk.

What would be the cost of establishing such a system? More importantly, what are the costs of failing to establish such a system? DIU is the logical Office and Utilization the logical Division to conduct the study that once and for all would map out a definitive communications and information handling strategy for the next two decades.

Project: A major four-year research and implementation project is required. Research phase alternatives would be pilot tested at key missions prior to Agency-wide implementation.

First year costs would total \$750,000 with total costs at approximately \$5,000,000 for system implementation.

4. Field Support Communications

While communications support for AID/W projects and programs is urgently needed, the gap in technology transfer from missions and LDC institutions to rural families within the developing countries is an even more serious obstacle to development. Missions must be able to call for immediate, rapid and skillful technical assistance in development communications to host country institutions and projects at all levels in the development hierarchy.

Project: This project would supply on-line print and electronic media communications specialists to missions. They would offer a wide range of practical skills and be capable of carrying out technology transfer campaigns in the field while training host country institutions to continue the mass education efforts needed to support rural development initiatives.

This would be a demonstration project funded at \$600,000 for three years.

5. Supplying LDC Institutions with U.S. Technical Information

Information transfer has become a bitter point of controversy in the North/South debate. U.S. policy is generally supportive of information transfer but a maze of legal, technical and some rather straightforward logistical and linguistic problems appear to be defeating that policy and frustrating many AID-supported countries.

Like the small investment in communications needed to guarantee the success of the new S&T Bureau, a relatively modest expenditure of funds in this area can help developing countries gain access to a vast wealth of already existing technical information, particularly within the small industries sector.

Projects:

1. The DIU NTIS project represents a modest beginning in this area. This project can be strengthened greatly through joint management with individual regional bureau advisory teams and additional funding for translations, in-country outlets, and other measures to facilitate access.

Funding would be doubled from \$400,000 to \$800,000 per year.

2. DIU has maintained an interest in appropriate technology information and plans a modest initiative in cooperation with ATI to produce some ATI experience packages. Most existing information networks operate in the area of scientist to scientist communication. This ATI initiative would be part of a major effort to expand the existing Energy network into a global A.T. information network for third world practitioners.

Funding would involve first year research costs of \$300,000; second year start-up costs of \$1,500,000 and on-going network financing of \$800,000 annually until the system matures to self-support within five to six years.

3. This project would make existing information resources and services of the U.S. available to potential LDC clients through several mechanisms. An international database clearinghouses would focus on awareness and access problems. In cooperation with the Bureau for Private Enterprise, the project would make grants and negotiate sub-contracts for adapting existing information collections and existing data bases for international application. Costs: \$1,000,000/yr.

6. Institutionalizing The Utilization Approach

All AID projects are now scrutinized and adjusted to take environmental impact into account. The learning curve to achieve that awareness took a minimum of at least five years. We cannot wait five years to achieve a similar level of competence with regard to information handling and utilization. This basic component of technology transfer must be implemented in all our projects and must be done in a way that does not bottleneck documents and cause delays in project development.

Project: This is an internal project which will phase itself out within five years. It will offer utilization support Agency-wide through timely review of all Agency project papers and submit to the originating office supplementary utilization plans as required.

Technical on-site support will be offered for offices and missions which request it and training courses and internships will be offered to develop a strong and highly motivated cadre of utilization officers.

This contract should be competitively awarded to an outstanding firm with vast experience in development and in-house communications expertise. Costs \$400,000/yr.

7. Utilization Demonstration and Research

Beneficial outcomes of research or development projects cannot always be predicted in advance. The optimal mode of dissemination and international transfer of many technologies often cannot be determined until some pilot experience is gained. The Utilization Division has capitalized on some "targets of opportunity" in the past such as the "Bat Project" with resounding success. These activities achieve two goals. They provide rapid dissemination and technology transfer of important development aids and they contribute to our knowledge of technology transfer and provide models for innovative utilization schemes in other problem areas.

Project: This utilization demonstration and research project would identify two important categories of project activity for transfer treatment. Outputs of the new S&T Bureau should follow a routine pattern of utilization. However, some products may have special potential for causing rapid strides in development. This project will identify those products, in conjunction with the technical offices, and devise mechanisms for accelerated transfer.

A second category of project activity which should be examined involve pilot field projects which offer outstanding potential to bring about rapid change at the country level. Many pilot projects have been very successful and have been set up carefully enough to demonstrate they could be effective on a larger scale. Lateral transfer of these activities is often not achieved and an opportunity for a profound development impact is lost. This project would identify some of these project and carry out in-country utilization under the direction of USAID missions. These efforts would be thoroughly documented models from which development training materials and programs would be created.

The costs of this project would be high but once again relative to the original development costs, technology transfer expenditures represent a tiny add on cost that greatly enhances the original investment. Three year costs for this project would total \$4,500,000.

July 15, 1981

MEMORANDUM

TO: S&T/DIU, Mrs. Lida Allen

FROM: S&T/SSSA, John Daly, 

SUBJECT: Development Information Management Policy

I am sorry to be late and hurried in responding to your memo of June 3, 1981.

As you know, I think that S&T/DIU should take a more assertive role than appears to have been allocated to it in the budget process. I hope Dr. Brady will give serious attention to the reexamination of these decisions. I am attaching some paragraphs which could be used to open the policy statement. They specify explicitly what the Agency is giving up in limiting DIU's charter. I apologize for having written them so hurriedly -- they obviously suffer in quality and completeness.

// Technological change is a fundamental characteristic of development. Assuring the availability of relevant and appropriate scientific and technological information to everyone involved in making technological choices is consequently a basic element of technical assistance for development. As a further consequence, development of scientific and technological information systems is a distributed responsibility of the Agency, shared by all line organizations within the Agency. The functions of S&T/DIU are seen as central support functions within this overall framework.

Given limited financial and personnel resources the following functions, which might be ascribed to central S&T information units in AID, will not be carried out by DS/DIU:

1. S&T/DIU will not organize nor fund S&T information agencies primarily oriented towards domestic clientel to allow their resources to be used more effectively or extensively for development.
2. S&T/DIU will not provide technical assistance to AID missions in the design or management of projects to strengthen host country S&T information capabilities.
3. S&T/DIU will not provide technical assistance to technical officers of the Bureau for Science and Technology nor the Bureau for Private Enterprise nor other Bureaus to help design or manage projects to develop regional or multiregional S&T information networks or resources.
4. S&T/DIU will not attempt to establish norms, standards or common procedures for other units in AID to publish, disseminate, store, retrieve, or otherwise organize information gained from research or other S&T projects, or collected through S&T information projects.

5. S&T/DIU will not establish information utility services for AID such as IQC's for translation, overseas distribution centers for publications, computer hardware and software for mailing lists and consultant files, with the exception of those explicitly identified in the following paragraphs.
6. S&T/DIU will not provide leadership for the Agency in reviewing and improving technology and procedures for assuring the availability of S&T information in developing countries.
7. S&T/DIU will not serve as a point of cognizance in the Agency for the efforts of the private sector or of other donors in developing S&T information systems for LDC use, nor will S&T/DIU be responsible for coordinating AID's S&T information efforts with those of other agencies.
8. S&T/DIU will not be responsible for the coordination or continuity of S&T information systems created by projects funded by missions, regional bureaus and technical offices, and will not be responsible for any loss of investment resulting from the disbursement of S&T information collections or systems following the termination of such projects.
9. S&T/DIU will not be responsible for substantive nor technical elements in an overall S&T information policy for the Agency.

Thus S&T/DIU will restrict its activities primarily to providing technical information services to AID and its intermediaries, and to storing and retrieving on-request information developed by AID and its intermediaries."

UNITED STATES GOVERNMENT

Memorandum

TO : DS/PO, Mr. Robert Simpson
THRU : AA/DS, Mr. Sander Levin

DATE: March 12, 1979

FROM : DS/DIU, Lida L. Allen

SUBJECT: Strategy on Development Information -- Management, Communication
and Utilization

Basic Issues

There is an immense body of information on most subjects applicable to development. Virtually all of the industrialized nations, international organizations and some IDC institutions maintain libraries, data banks, and information centers and also sponsor publications, perform active research, analyze experience, etc., leading to an ever increasing mass of available information. The rate of growth of this information is particularly pronounced in recent years.

If we can characterize this body of information as "supply", then the need for this information by those concerned with development can be characterized as "demand." Information management, communication and utilization serve to bridge the gap between supply and demand or in other words, to effectively and efficiently transfer technology.

The management of information involves the systematic, careful and often tedious selection, acquisition and processing of information as well as arranging for efficient access to the information by users after processing. Even with the use of the most advanced automated techniques, this process tends to be labor-intensive and expensive.

As important as the collection and processing of technological information may be, the important impact comes from communication (interchange at all levels) and application of the information to development problems. Awareness of information is of major importance to the development assistance expert, the researcher, the IDC transfer agent, and the IDC policymaker. Each may require different "treatments" of the same information to make it relevant to his specific needs.

The lack of effective communication can cause waste of resources, duplication of effort, and delay in both research about, and implementation of, development.



Again it's not simply a matter of communication of the information. Information "over-kill" in the communication of too much information to be relevant or assimilable at the point of need already is a danger in some areas. The problems of technological information selection, audience targeting, information tailoring to a specific country situation, are all becoming increasingly important in supporting successful technology transfer.

The Role of DSB

The Development Support Bureau serves as the central AID focal point for the management, communication, and utilization of development information.

The DSB objectives are:

1. To assure not only the AID "memory" but to assure the broadest possible "development information memory" selected from all sources.
2. To assure through the most modern practicable techniques the efficient management of this information, providing ready access to the information to all concerned with development, with priority to AID supported activities.
3. To assure through the use of a broad spectrum of communication techniques, including networking, linkage to external data banks and information centers, newsletters, catalogues, compendiums, etc., the efficient communication/dissemination of this information with major focus on appropriate technology. This in turn will help to assure a reduction in waste and duplication of effort in research and development.
4. In recognition of the complexities involved in the transfer of technology and the key role of innovative information utilization in that process, DSB through: targeting information to specific users, tailoring information to end user needs, maintaining constant dialogue with the field, and providing consultative assistance to all information activities, will help support and expedite the transfer.

DIU Objectives

The overall objective of the Development Information and Utilization Office is to provide central support to Missions and Bureaus in development information, management and utilization, and similar support to selected counterpart institutions, in IDCs. Specific objectives are:

1. ^{To} develop, maintain, manage and service the "Development Information Memory", which includes the "AID Memory" plus selected "memories" from

from other development assistance organizations.

2. To assist, review, and coordinate AID programs/project design, involving information activities, such as establishment of information centers and data banks, development of library services, etc.
3. To increase, by means of various publications, seminar training and briefing efforts, field and agency awareness and utilization of available development information resources.
4. To promote development of library/information institutional capabilities in LDCs.
5. Recognizing the critical role of information management in the transfer of technology, DIU will assist in developing new information communication techniques and identifying existing ones which will serve to facilitate technology transfer.
6. To maintain liaison, and close coordination with, counterpart technical information offices in private, governmental and international agencies.

DIU's Role and Functions

1. In connection with the establishment and the maintenance of the "Development Information Memory" the DIU is responsible for the following functions:
 - a. To receive all AID generated project/program and technical documents and AID supported research results,
 - b. To select and acquire non-AID generated development technology which is usually not available through other information systems or data bases,
 - c. To catalog, index and abstract the acquired materials and then to convert them into machine readable form for computer processing and storage, and retrieval.
 - d. To assist Missions and Bureaus and other collaborating organizations in gaining access to the data base containing the "Memory".
 - e. To receive and interpret requests for information from AID personnel and their counterparts in LDC institutions, to route substantive requests to DSB technical experts for evaluative response, to make comprehensive literature searches through data banks and information systems, and to develop outreach programs through announcements, catalogues, and specialized information packages.

2. Administers the AID Development Information Centers which provide professional library and reference services for experiential data and technical information from AID's own data base supplemented by on-line accessing of other appropriate information resources of U.S. and national and international development agencies. Makes available to Agency personnel and personnel of collaborating development assistance institutions, publications, abstracts and microfiche records of needed documents. To a certain extent this service is available to those of the U.S. public who are engaging in studies of U.S. foreign assistance. Acquires pertinent technical publications, periodical subscriptions and other documents useful to AID personnel.
3. Through regular communications with AID Missions and directly with the U.S. technician and the IDC technician where possible, makes and keeps them aware of the technological information sources available to them. Provides syntheses on a regular basis on important new technological developments on a selected priority interest basis, encouraging and facilitating technical inquiry and follow-up; extends this awareness activity to other donors, international organizations, and IDC officials as soon as it is possible to do so; and continues to upgrade AID policymakers and technicians overseas and in AID/W as to the factors, constraints and problems involved in successful technology transfer, the meaning of appropriate technology in their country context, and encouraging their input and feedback on related issues of concern.
4. Insures that development information sources target their output for distribution to the most effective audience for development purposes (i.e. not exclusively to the academic, professional or technical peers of the developer of the information); establishes through field testing, the feasibility of tailoring information for different recipients to create in the policymaker, and technician and the ultimate user, the understanding of the technology and the acceptance and motivation to implement its transfer; and insures through promulgation of guidelines for a "Technology Transfer Goal" or "Information Utilization Plan" for inclusion in the AID Handbook series that most of the technology transfer issues are addressed in the planning and implementation of a project of AID.
5. Reviews and/or monitors contract/grant funded information centers, data bank and networking projects of AID in order to minimize duplication of effort. to strongly advocate compatibility with other existing information facilities and to assure wherever feasible that materials, data tapes, mailing lists, etc., are recoverable by AID after the life of the project.

6. Assists the Missions and the IDC institutions in the development of technical libraries, documentation centers and information networking applications.
7. Adheres to widely acceptable information processing tools, such as format design, computer system, thesaurus, etc., especially for those used in IDCs and international development programs.
8. Representing the Agency, reports and submits informations on AID funded research and studies to the National Technical Information Services (NTIS) and the Smithsonian Science Information Exchange (SSIE).

DIU Activity Proposals

Given the broadening and generally labor-intensive mandate of DSB/DIU and the likelihood of continuing modest direct-hire personnel levels for the Agency, it will be necessary for DIU to carry out some of its work through projects. Depending on personnel levels, therefore, DIU proposes to implement the following project activities:

1. Information as a Tool in Development, Project No. 931-0232:

The goal of this project is to continue the development of the "AID Memory" and to expand this memory to a "Development Information Memory." Specific activities included in the project are: (1) quarterly publication of AID Research and Development Abstracts (ARDA); (2) continued development of the "AID Document Distribution System" (ADDS); (3) worldwide on-demand delivery of AID-supported technical publications to recipients contained in ADDS; and (4) continued development of the AID project experiential data base.

Life of Project: On-going

2. Science and Technology Transfer, Project No. 931-1114:

Through a continuing PASA with the National Technical Information Service (NTIS) of the Department of Commerce to create an operating network of trained and effective cooperating local agencies for transfer of U.S. scientific and technical information to 10-14 developing countries in Asia, Africa and the Near East.

Life of Project: FY '80 and FY '81

3. Field Support Communications Project:

The goal of this project is to bring about greater utilization of AID-funded resources and stimulate cross-fertilization of project ideas and experiences among AID Missions and key IDC institutions. The project will establish a continuing mechanism to produce Resources Report, Resource Compendiums, Project Experience Summaries and other field support literature.

Life of Project: On-going beginning 1980

4. Knowledge Synthesis Project (I):

The goal of this project is to increase utilization of appropriate knowledge or technology in development programs. Under the first activity, print and audio-visual materials were developed on the subject of water management on small farms. The second activity is producing materials in the area of environmental health and tropical diseases. Appropriate technology solutions to providing small community water supplies and rural waste disposal are being presented within an overall theme of community participation.

Under both activities, IDC policymakers, technical managers and field personnel (change agents) have been identified and placed on a computerized mailing list. Multi-language, user-oriented materials have been targeted to their needs. Future activities will also focus on areas of high-priority to AID in-country field projects.

Life of Project: Five Years 1977-81

5. Knowledge Synthesis Project (II):

This project has goals and outputs similar to the first Knowledge Synthesis Project, but will be designed to interface more directly with in-country projects. Specific problems of a particular region or country will be selected for intensive treatment in accord with Mission and Regional programs.

Life of Project: Five Years Beginning 1982

6. USDA RSSA #931-0064, Agricultural Information and Related Services:

The goal of this project is to provide USAID Mission agriculturists — and selected key IDC institutions — direct access to the unique and specialized knowledge and resources of the USDA and its Land-Grant University Network. The technical inquiry service responds directly to USAID Mission needs for agricultural information by tapping a variety of sources. USDA and Land-Grant University network experts provide a primary reference point, while other government agencies, international organizations and commercial data bases are also used.

Life of Project: On-going

7. Grant for Feasibility Study of Appropriate Technology Information Network:

The goal of this project is to determine the feasibility of establishing a worldwide appropriate technology information network. The study will be carried out by providing a grant to Volunteers in Technical Assistance (VITA). Their report will provide design and budget guidance.

Life of Project: 6 months 1979

8. Appropriate Technology Information Network:

The goal of this project is to assist and facilitate greater use of appropriate technology. The network will be designed to be demand-driven by strengthening IDC Appropriate Technology Information Dissemination Centers and linking them to a central international repository and A.T. information transfer center.

Life of Project: On-going Beginning 1980

9. Communications and Utilization Support IQC:

The goals of this project are (1) to increase utilization of resources and effectiveness of field project implementation, (2) to stimulate development of utilization projects and incorporation of utilization plans into AID projects and (3) to identify opportunities for creating communication linkages to facilitate the transfer of technical information and technology.

The IQC will provide on-demand professional development communication expertise to (1) directly assist Mission and DSB field project personnel with communication activities, (2) assist DSB technical offices and Missions in project design and implementation and (3) in cooperation with DS/ED, conduct studies of communication technology applications to technical information transfer needs to take advantage of any feasible networking opportunities.

Life of Project: Five Years, Beginning 1980

10. Utilization Research Project:

The goal of this project is to provide DIU/U and the Agency with empirically verifiable indications of (1) the necessity or lack of necessity for utilization activities, (2) an indication of utilization priorities in terms of sectors and LDC target areas, (3) an estimated potential return from utilization initiatives and (4) a cost/benefit analysis and critical review of 1976-85 utilization projects.

Life of Project: Two Years, Beginning 1983

11. Follow-ups on UNCSTD:

The purpose of this project is to provide technical assistance to and resource support for the needs of information activities in LDCs as they will be pledged by the U.S. delegate to the forthcoming United Nations Conference on Science and Technology for Development.

Life of Project: Beginning 1980 -

Budget: To be determined after the conference.

Personnel

Direct-Hire - It should be noted that DIU in addition to its programatic and project management functions, carries out a series of demanding service functions where efficient professional personalized responses to field inquiries are mandatory. This is and will continue, perforce, to be labor-intensive.

Therefore, to fulfill the responsibilities outlined above, DIU direct-hire personnel should increase by 18 additional positions over the next three years. A tentative break out of the positions required are: Nine to ten professionals (50% with field experience), four to five technicians and three to four clerical staff.

With the proposed addition of personnel, it would be possible to transform the basis of information support activities from "project" -- derived to that of a permanent, institutionalized Agency "program." To place a major part of information and documentation service on a project basis creates a transitory atmosphere which is detrimental to morale and inhibits flexibility. The role of information in effective AID operations requires stable, on-going organization, staffing, and funding in the same manner as do administrative and other on-going program support functions.