

1. The Agency records management mandate
  - a. Purpose (Handbook 21)
    - (1) Designed to provide effective control over the creation, organization, maintenance, use and disposal of Agency records.
    - (2) Assure that important policies and decisions are adequately recorded and that routine operational paperwork is kept to a minimum.
      - (1) ELF
      - (2) Paperwork Reduction Act (1981)
    - (3) Insure that records are maintained economically and efficiently, in such a manner that their maximum usefulness is attained.
      - Control is defined as the ability to get the right information to the right person in the right format at the right time for the least cost.
  - b. Goals
    - (1) Meet legislative and regulatory requirements: What happened to the money?
      - (a) FOIA (1966, 1974)
      - (b) GAO
      - (c) IG
      - (d) MBO
      - (e) Congressional committees
    - (2) Provide historical reference
    - (3) Provide litigation support
    - (4) Maximize organizational efficiency
    - (5) Provide management decision support
    - (6) Provide paperwork volume and cost reduction
  - c. Objectives

Design, implement, maintain, and improve a records management system that is going to provide the ability to get the right information to the right people in the right format for the least cost.

    - (1) Determine what is the right information
      - (a) Determine the enterprises information resources
        - Project records
        - Financial records
        - Information about operating budgets
        - Financial results
        - Personnel records
        - Information from and about its constituency, its market, its 'target audience', or its clients
      - (b) Determine the resources for making the information available
      - (c) Determine how and for what the enterprise uses its information.
      - (d) Determine information flows
    - (2) Determine who are the right people

- (a) Who manages the information resources?
- (b) Who uses/processes the information resources?
- (3) Determine what is the right format
  - (a) What information technology does the enterprise use in managing its information resources?
  - (b) What is a map of those resources?
  - (c) What is the technology used for?
  - (d) How appropriate is it?
  - (e) Who decides what technology to buy?
  - (f) Who manages the technology?
  - (g) Combine technology map and information flow
- (4) Determine the costs
  - (a) What does it cost?
  - (b) What is it worth? (value)
  - (c) Is it possible to relate costs and values?

2. The need for an effective records management program

a. Problems

- (1) Decentralized, uncoordinated records management practices and activities
- (2) Information loss, failure to find it when needed
- (3) Information scattered throughout the Agency in different locations and different formats without a common means of access.
- (4) Lack of well-defined strategy for use of technology supporting records management activities
- (5) Lack of an Agencywide information policy to provide the context for development of an effective records management program.
- (6) Underdeveloped and underutilized linkages to other Agencywide information storage and retrieval activities.

b. Consequences from the problems

- (1) Incomplete exploitation of information
- (2) Lack of awareness of information sources
- (3) Inadequate service to information and records users
- (4) Accomplishment of objectives impeded
- (5) Poor file integrity
- (6) Poor file security
- (7) Technology not used to it's full potential
- (8) Lack of control over the cost of information

3. The role of APDMS in support of records management

a. Purpose

- (1) APDMS defined
 

The Agency Project Document Micrographics Systems is a project to convert geographic bureau projects records from paper to microfiche to improve and maximize the usefulness of project records to the Agency.
- (2) Historical context for its origin and continuation
  - (a) Original need (copy 2 a and b from above)
  - (b) Continuing need
  - (c) Accomplishments to date

- volumes
- bureaus and document coverage
- (d) Supporting technologies: CAR
- b. Goals and objectives
  - (1) The right information is acquired from outside and generated from inside to meet what the enterprise needs to do with the information
  - (2) It is exploited fully, to meet all current needs, and to help the enterprise develop to meet changes in its strategies or in its environment
  - (3) It gets, on time, and in the right format, to the people who need to use it
  - (4) The people (DISC staff) who process it (the information) understand the needs of the people who use it
  - (5) Everybody who processes and uses information has the appropriate knowledge and skills, for cooperating with one another in applying them to their work, and for developing new ways of using or processing information to help the enterprise achieve its objectives.
  - (6) The technology in use is constantly reviewed to evaluate its appropriateness to the overall objectives and the information objectives of the enterprise, and decisions on new technology are taken with regard to the enterprise's information policy, and to the total socio-technical environment.
  - (7) Appropriate organizational forms and human resources are provided for managing and developing the information function and applying the information policy.
  - (8) Relevant monitoring criteria are developed for evaluating the results of implementing the information policy, and means ensured for feedback and implementing results.
- c. How does it work
  - (1) Workflow
  - (2) File organization
  - (3) Who is involved
    - (a) Role of mail/file unit (C&R)
    - (b) Contractor support
    - (c) POL/CDIE/DI
    - (d) FA/AS/ISS/RM
  - (4) Who uses it
    - (a) Project officers
    - (b) Technical officers
    - (c) Inspector general
    - (d) General counsel
    - (e) GAO
    - (f) Contractors
  - (5) Supporting technologies

4. The benefits of APDMS - the value of information

- a. Quality of information itself
    - (1) Accuracy
    - (2) Comprehensiveness
    - (3) Credibility
    - (4) Relevance
    - (5) Simplicity
    - (6) Validity
  - b. Utility of information holdings
    - (1) Degree of intellectual and physical accessibility
    - (2) Ease of use
    - (3) Flexibility
    - (4) Presentation (media/format - microfiche)
    - (5) Duplication and distribution ease
  - c. Impact on productivity of organization
    - (1) Contribution to improvement in decision-making
    - (2) Product quality
    - (3) Efficiency of operation or working conditions
    - (4) Time-saving, resource efficiency
    - (5) Promotion of timely action
  - d. Impact on effectiveness of organization
    - (1) Improved user community satisfaction  
(describe the information flow/loop - records mgmt cycle: create/distribute/use/store/dispose)
    - (2) Meeting targets and objectives
    - (3) Decision-making on resources for information activities can be objective because it's based on the Agency's objectives and priorities
  - e. Impact on financial position
    - (1) Contribution to cost reduction or cost saving(s)
    - (2) Substitution for more expensive resource inputs
    - (3) Effective deployment of resources
    - (4) Long-term planning possible
    - (5) Continuity in development of records management activities promoted.
    - (6) Wasted investment avoided
5. Corollary benefits
- a. Fiche header information in a searchable database
  - b. Records can be identified by other fields in addition to fiche header information
  - c. AID's DIS can also be accessed using a computer
  - d. Provides standardized project document records management system
  - e. Facilitates application of standardized records management terminology across all Agency units
6. Future targets
- a. Exploit existing database resources and technologies
    - (1) Expand database structures to be more meaningful in helping identify and classify documentation
    - (2) Standardize document classifications scheme across all participating bureaus
    - (3) Build and/or improve linkages to institutional memory (DIS)

- (4) Make computer indices and databases more readily available Agencywide by building connection to Agency LAN
  - (5) Expand training audience
  - (6) Improve user interface to APDMS databases
  - (7) Market and advertise the existence of APDMS databases as a records and information management resource
- a. Improved use of computer index component to improve record access and retrieval precision
  - b. Discovery of new possibilities for records and information exploitation
  - c. Better use of human resources, upgrading staff skills and increased job satisfaction
  - d. Exploration of alternatives to micrographics
    - (1) Perform feasibility study
    - (2) Establish pilot system
  - e. Developing and utilizing linkages to other Agencywide information storage and retrieval activities, including electronic recordkeeping systems.  
(Integration / compatibility with other Agencywide information storage and retrieval activities)

7. Requirements to achieve targets

- a. Commitment
- b. Authorization
- c. Support
  - (1) Funding
  - (2) AID Management

## **The A.I.D. Records Management Program Handbook 21**

- **Designed to provide effective CONTROL over the creation, organization, maintenance, use and disposal of Agency records.**
- **Assure that important policies and decisions are adequately recorded and that routine operational paperwork is kept to a minimum.**
- **Insure that records are maintained economically and efficiently, in such a manner that their *maximum usefulness is attained.***

## **Meeting the Records Management Mandate**

**Records management CONTROL: The ability to –**

- **To get the right INFORMATION**
- **To the right PERSON**
- **In the right FORMAT**
- **At the right TIME**
- **For the least COST**

**Usefulness is maximized through effective control.**

**The Agency records management mandate:**

**Goals:**

- **Meet Legislative and Regulatory Requirements**
- **Provide Historical Reference**
- **Provide Litigation Support**
- **Maximize Organizational Efficiency**
- **Provide Management Decision Support**
- **Provide Paperwork Volume/Cost Reduction**

## **The Need for an effective Agency records management program**

### **Problems:**

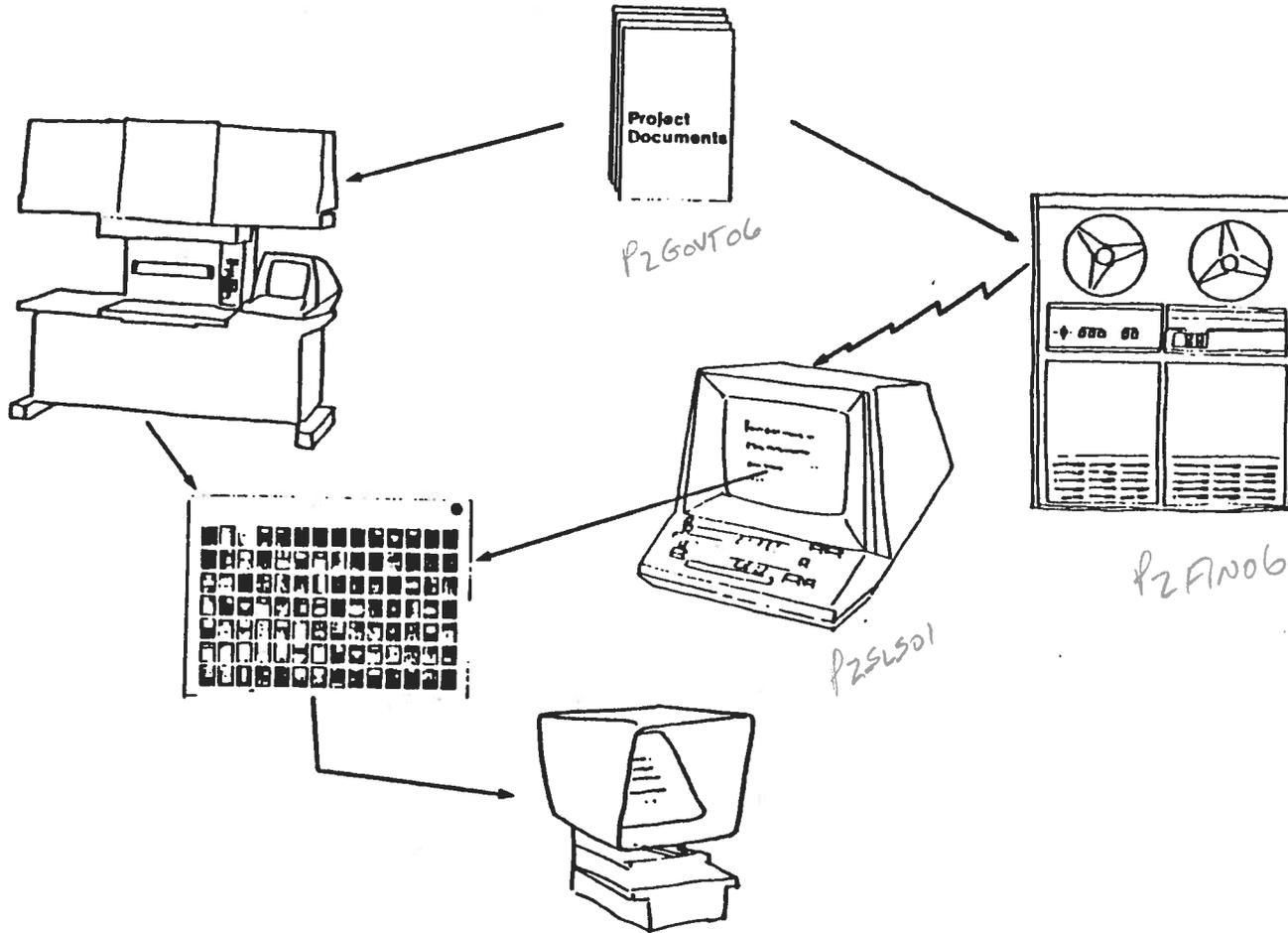
- **Decentralized, uncoordinated records management practices and activities**
- **Information loss, failure to find it when needed**
- **Information scattered throughout Agency in different locations and different formats without a COMMON MEANS OF ACCESS**
- **Lack of well-defined strategy for use of technology supporting records management activities**
- **Underdeveloped linkages to other Agency-wide information storage and retrieval activities**

## **The Need for an effective Agency records management program**

### **Consequences from Problems:**

- **Incomplete exploitation of information**
- **Lack of awareness of information sources**
- **Inadequate service to information and records users**
- **Accomplishment of objectives impeded**
- **Poor file integrity**
- **Poor file security**
- **Poor space utilization**
- **Technology not used to it's full potential**
- **The costs of information**
  - **economic / opportunity costs**

# APDMS - A.I.D. Project Document Micrographics System



## **Considerations –**

- **What is APDMS?**
- **Why was APDMS needed originally?**
- **Why is APDMS needed today?**
- **What has APDMS accomplished?**
- **What are the benefits of APDMS?**
- **What is the value of information?**
- **What are some corollary benefits of APDMS?**
- **How does APDMS work?**
- **Who uses APDMS?**
- **Who is involved?**
- **What are the future targets for APDMS?**
- **How do we get there?**

# **What is APDMS?**

**The Agency Project Document Micrographics System is a project to convert geographic bureau project records to microfiche to improve control and maximize the usefulness of project records.**

## Why APDMS?

- **Information loss, failure to find it when needed**
- **Decentralized, uncoordinated records management practices and activities**
- **Incomplete exploitation of information**
- **Lack of awareness of information sources**
- **Inadequate service to information and records users**
- **Accomplishment of objectives impeded**
- **Poor file integrity**
- **Poor file security**
- **Poor space utilization**
- **Technology not used to it's full potential**
- **The costs of information**
  - **economic / opportunity costs**

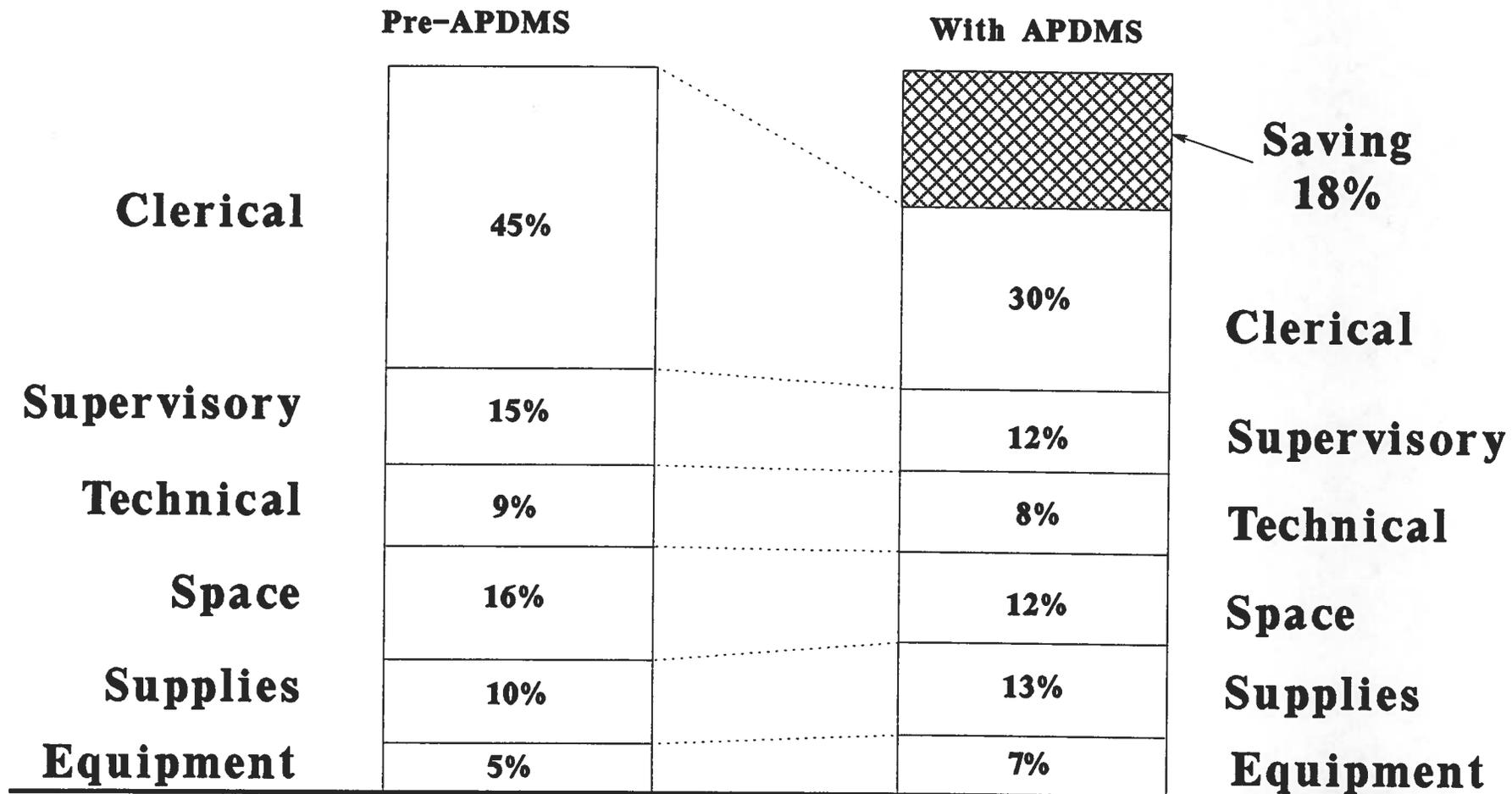
## **APDMS Accomplishments**

- **Microfilmed nearly a quarter million project documents**
- **Microfilmed nearly five million pages of material**
- **Converted over 200 filing cabinets to microfilm**
- **Improved linkages with other Agency info resources**
- **Improved service to information and records users**
- **Enhanced ease of distributing project files**
- **Greatly improved project file integrity**
- **Greatly improved project file security**
- **Greatly improved project file control**
- **Improved space utilization**
- **Technology potential realized more fully**
- **Reduced costs of information**
- **System Security through Disaster Recovery Plan**

***Bureau Microfilm Summary: FY83 through FY91***

<b>Work Completed:</b>	<b>FY83</b>	<b>FY84</b>	<b>FY85</b>	<b>FY86</b>	<b>FY87</b>	<b>FY88</b>	<b>FY89</b>	<b>FY90</b>	<b>FY91</b>	<b>Total</b>
<b><i>Africa Bureau</i></b>										
Documents	11,956	5,968	7,284	8,143	4,540	5,592	4,534	1,898	6,239	56,154
Fiche	13,948	6,459	8,136	8,547	4,673	5,692	4,674	1,940	6,318	60,387
Frames	440,169	120,819	202,363	128,600	56,321	57,274	50,304	19,537	56,825	1,132,212
Boxes	122	62	106	95	51	65	50	22	68	641
<b><i>Asia Bureau</i></b>										
Documents	5,677	2,641	3,018	2,782	3,782	2,303	3,263	2,120	3,500	29,086
Fiche	6,232	2,755	3,114	3,046	3,927	2,383	3,381	2,185	3,620	30,643
Frames	154,520	41,449	30,784	50,030	48,204	27,213	40,602	28,699	50,901	472,402
Boxes	58	29	33	69	54	30	34	23	36	366
<b><i>Near East Bureau</i></b>										
Documents	0	0	7,654	2,730	1,582	795	1,001	488	627	14,877
Fiche	0	0	9,348	3,257	1,679	829	1,024	494	633	17,264
Frames	0	0	344,876	94,504	27,991	9,900	9,317	4,010	6,141	496,739
Boxes	0	0	192	30	16	8	10	5	6	268
<b><i>Europe Bureau</i></b>										
Documents	0	0	311	100	53	19	28	20	173	704
Fiche	0	0	442	112	59	19	28	20	175	855
Frames	0	0	12,489	2,901	1,284	351	222	363	3,458	21,068
Boxes	0	0	3	1	1	1	1	1	2	10
<b><i>Contracts</i></b>										
Documents	0	8,023	6,145	8,143	5,673	10,448	4,584	13,236	9,961	66,213
Fiche	0	8,401	6,443	8,180	5,717	10,537	4,650	13,287	10,039	67,254
Frames	0	205,065	159,779	110,234	83,379	120,764	60,838	124,925	95,976	960,960
Boxes	0	107	92	83	60	112	51	139	104	748
<b><i>LAC Bureau</i></b>										
Documents	0	0	0	7,120	2,653	2,543	3,030	2,369	2,732	20,447
Fiche	0	0	0	8,409	2,865	2,615	3,104	2,440	2,855	22,288
Frames	0	0	0	266,833	53,305	32,052	35,363	31,015	44,113	462,681
Boxes	0	0	0	99	29	25	40	26	34	253
<b><i>Loans</i></b>										
Documents	0	0	0	237	10,858	0	721	98	0	11,914
Fiche	0	0	0	250	11,075	0	726	98	0	12,149
Frames	0	0	0	5,835	214,537	0	10,923	1,263	0	232,558
Boxes	0	0	0	2	139	0	8	1	0	150
<b><i>R&amp;D Bureau</i></b>										
Documents	0	0	0	0	1,344	9,224	4,707	6,318	1,337	22,930
Fiche	0	0	0	0	1,692	10,221	5,515	7,076	1,688	26,192
Frames	0	0	0	0	65,436	269,508	170,709	222,782	65,273	793,708
Boxes	0	0	0	0	23	169	94	127	32	445
<b><i>Total</i></b>										
Documents	17,633	16,632	24,412	29,255	30,485	30,924	21,868	26,547	24,569	222,325
Fiche	20,180	17,615	27,483	31,801	31,687	32,296	23,102	27,540	25,328	237,032
Frames	594,689	367,333	750,291	658,937	550,457	517,062	378,278	432,594	322,687	4,572,328
Boxes	180	198	426	380	373	410	288	344	282	2,881

# Relative System Costs: Pre- and Post- APDMS



**The Benefits of APDMS:**

***The VALUE OF INFORMATION***

## **The Benefits of APDMS: The Value of Information**

- **The Quality of the records coverage**
- **The Utility of the records**
- **The Impact on organizational productivity**
- **The Impact on organizational effectiveness**
- **The Impact on financial position**

## **The Benefits of APDMS: The Value of Information**

### **The Quality of the records coverage**

- **Accuracy**
- **Comprehensiveness**
- **Credibility**
- **Relevance**
- **System Simplicity and Ease of Use**

## **The Benefits of APDMS: The Value of Information**

### **The Utility of the records coverage**

- **Availability of records**
- **Direct Access to records**
- **Ease of Use**
- **Flexibility**
- **Ease of Duplication**
- **Ease of Distribution**
- **Records Security**

## **The Benefits of APDMS: The Value of Information**

### **The Impact on Organizational Productivity**

- **Contribution to Improved Decision-Making**
- **Contribution to Improved and Informed Reports**
- **Time Savings**
- **Resource Efficiency**
- **Promotion of Timely Action**
- **Direct Support of Audit Activities**

## **The Benefits of APDMS: The Value of Information**

### **The Impact on Organizational Effectiveness**

- **Meeting Targets and Objectives**
- **Improved User Community Satisfaction**
- **Common Access to Project Documentation**
- **System Responsiveness**

## **The Benefits of APDMS: The Value of Information**

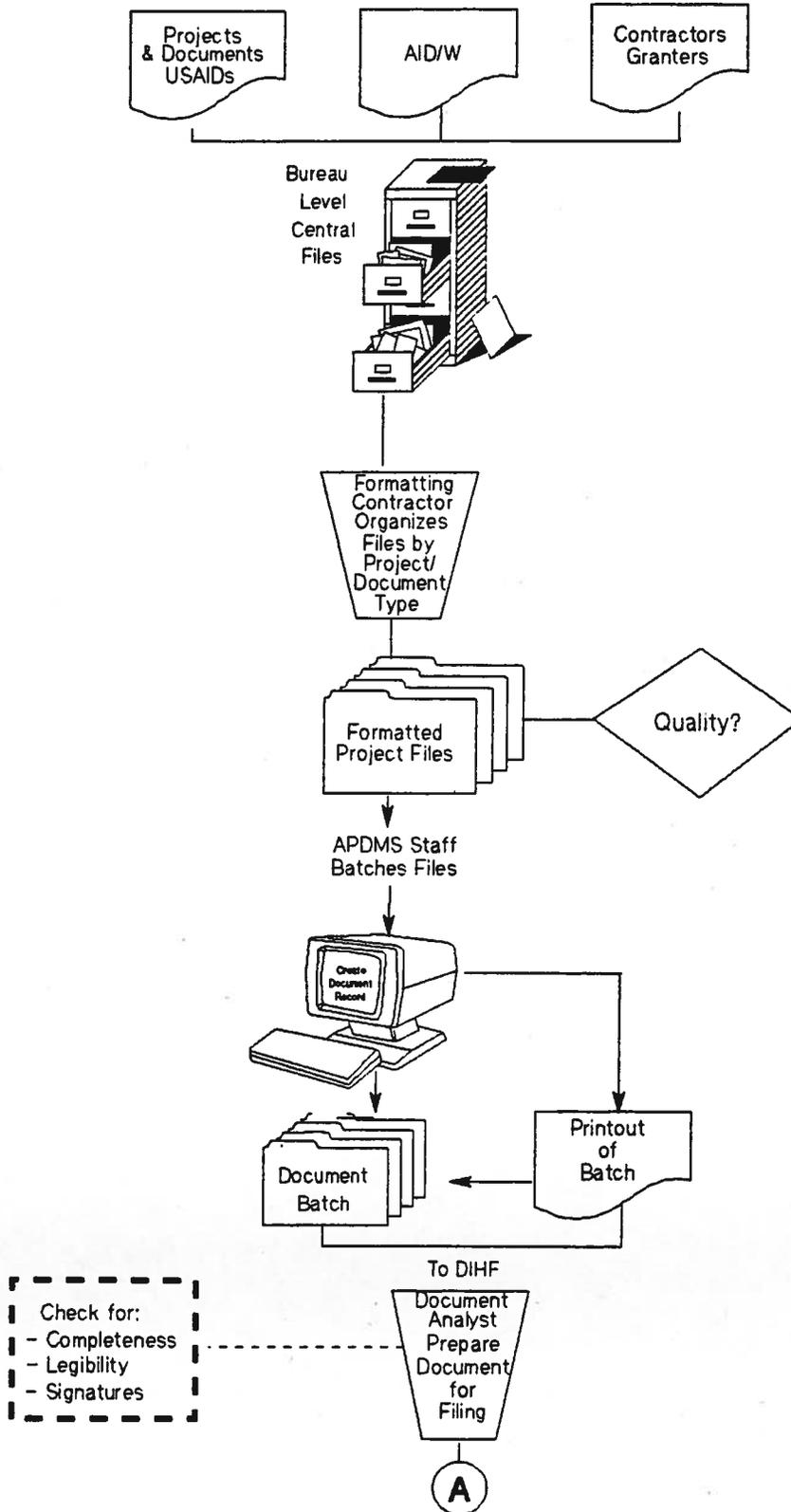
### **The Impact on Financial Position**

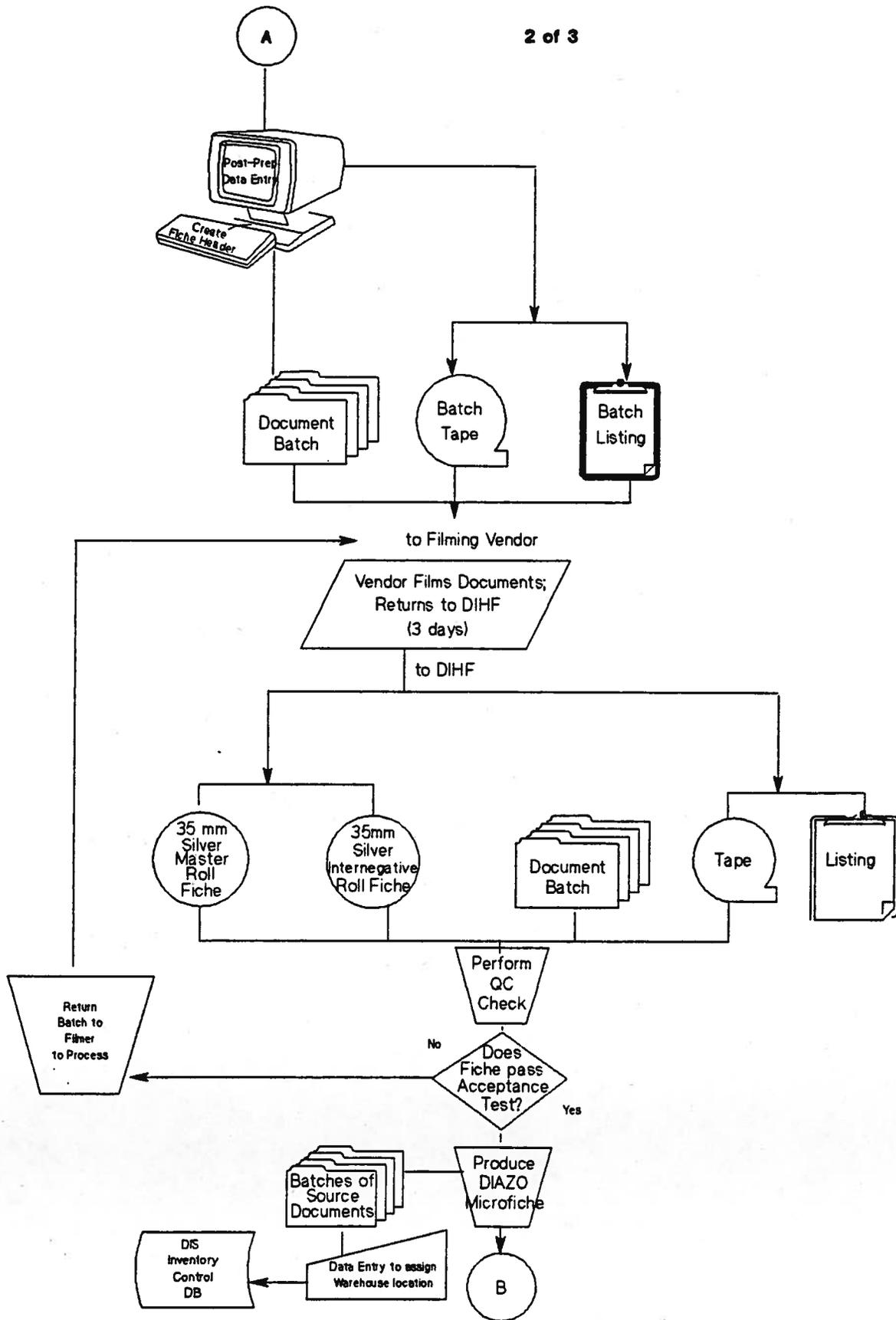
- **Contribution to Cost Reduction**
- **Substitution for More Expensive Resource Inputs**
- **Effective Deployment of Resources**
- **Continuity in Records Mgmt Program Development**

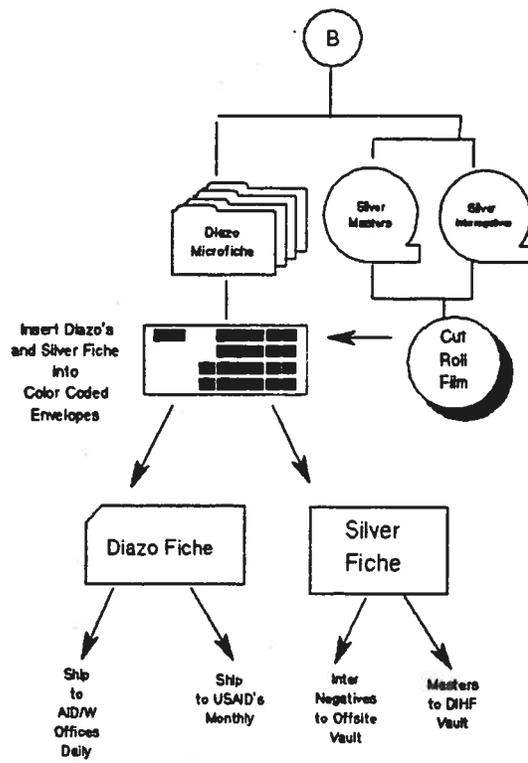
## Corollary Benefits of APDMS

- **Fiche header information in a searchable database accessible via computer**
- **Records can be identified by other fields in addition to fiche header information**
- **A.I.D.'s Development Information System (DIS) can also be accessed using a computer. It contains records of:**
  - **25,000 technical reports**
  - **7,000 projects**
  - **7,500 L.D.C. counterpart and related development institutions in the U.S. and abroad**
- **Provides standardized Agency-wide project document records management system**
- **Facilitates application of standardized records management terminology across all units of Agency**

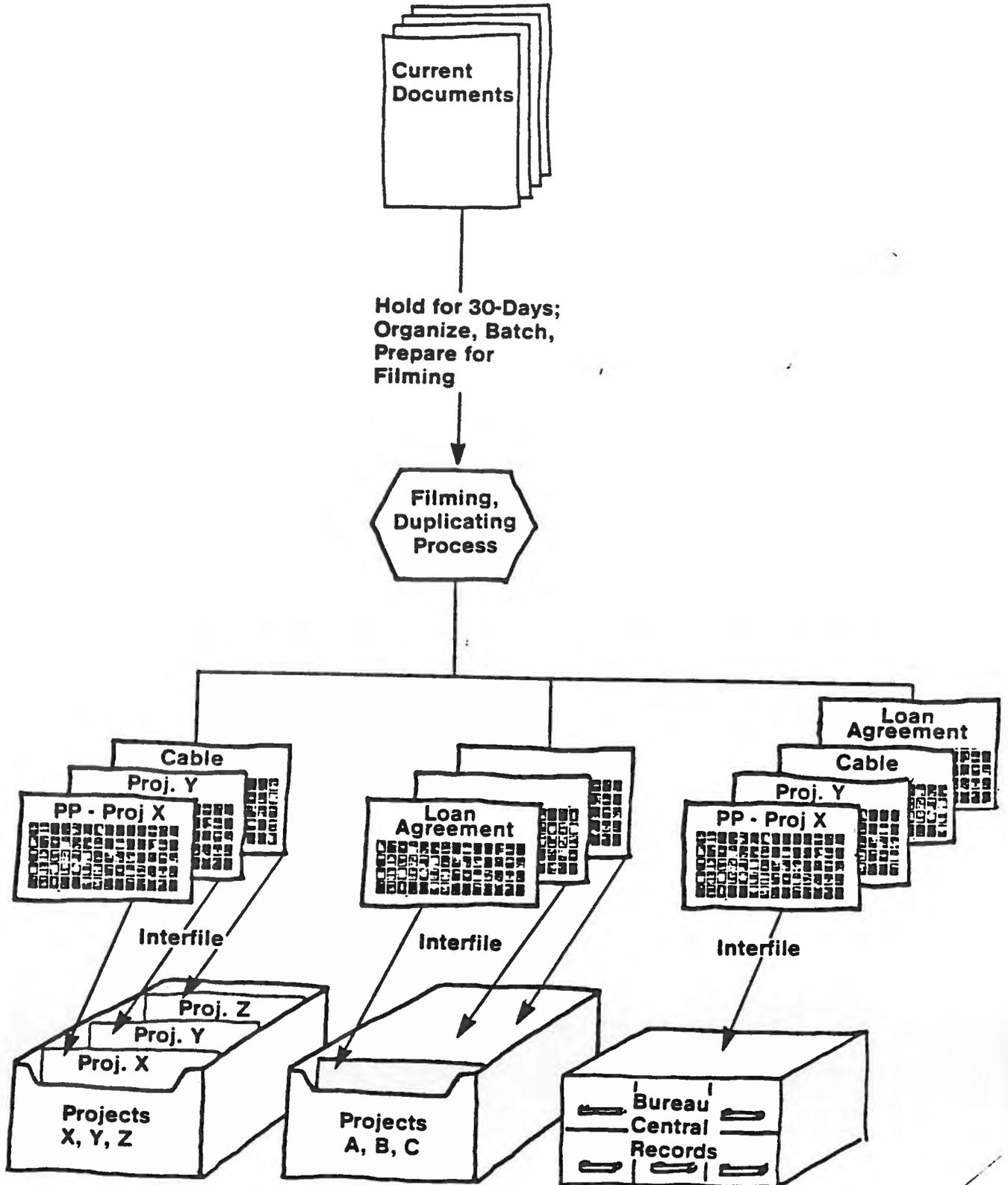
# Exhibit 4.24 APDMS Document Processing







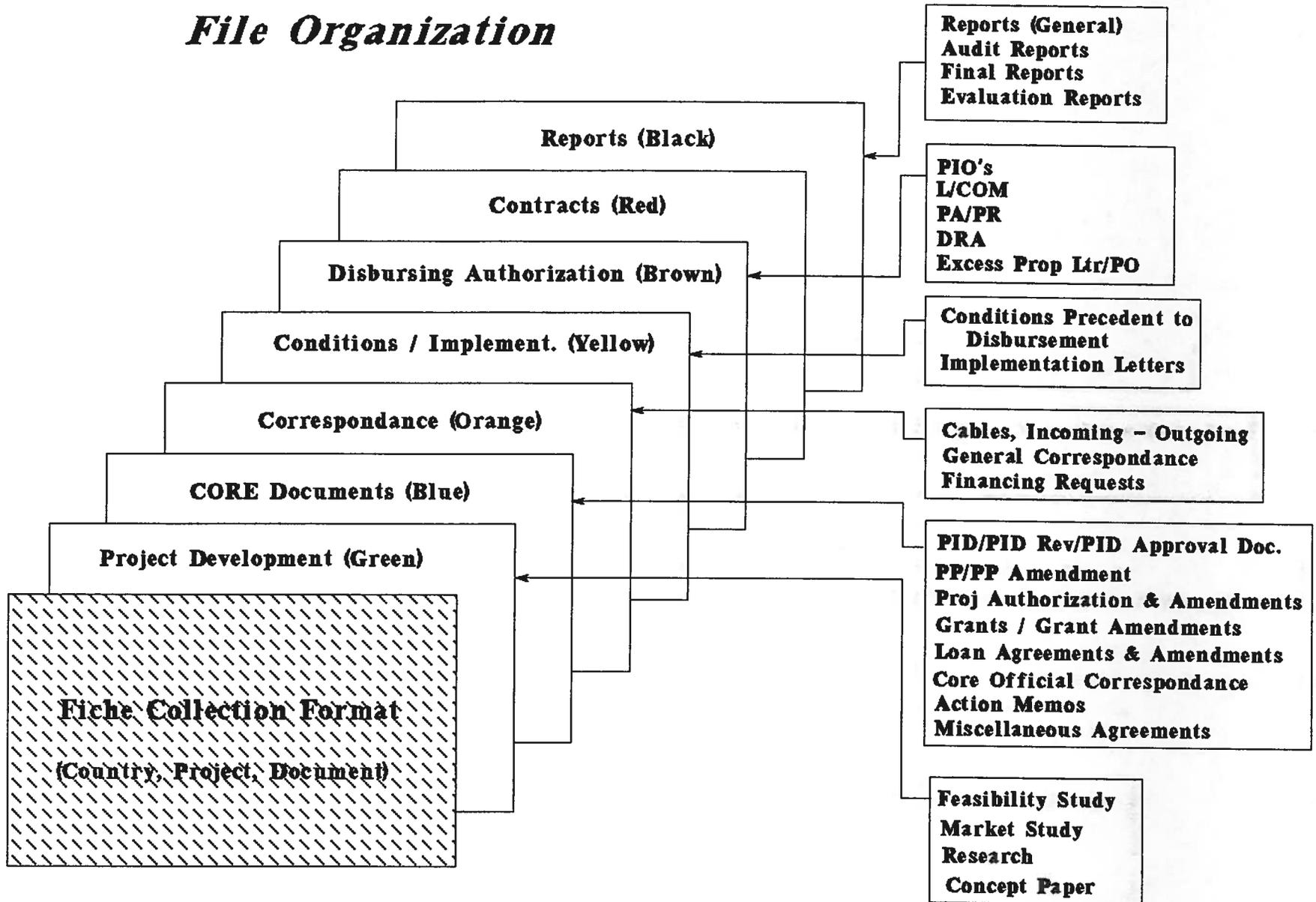
# Updating APDMS



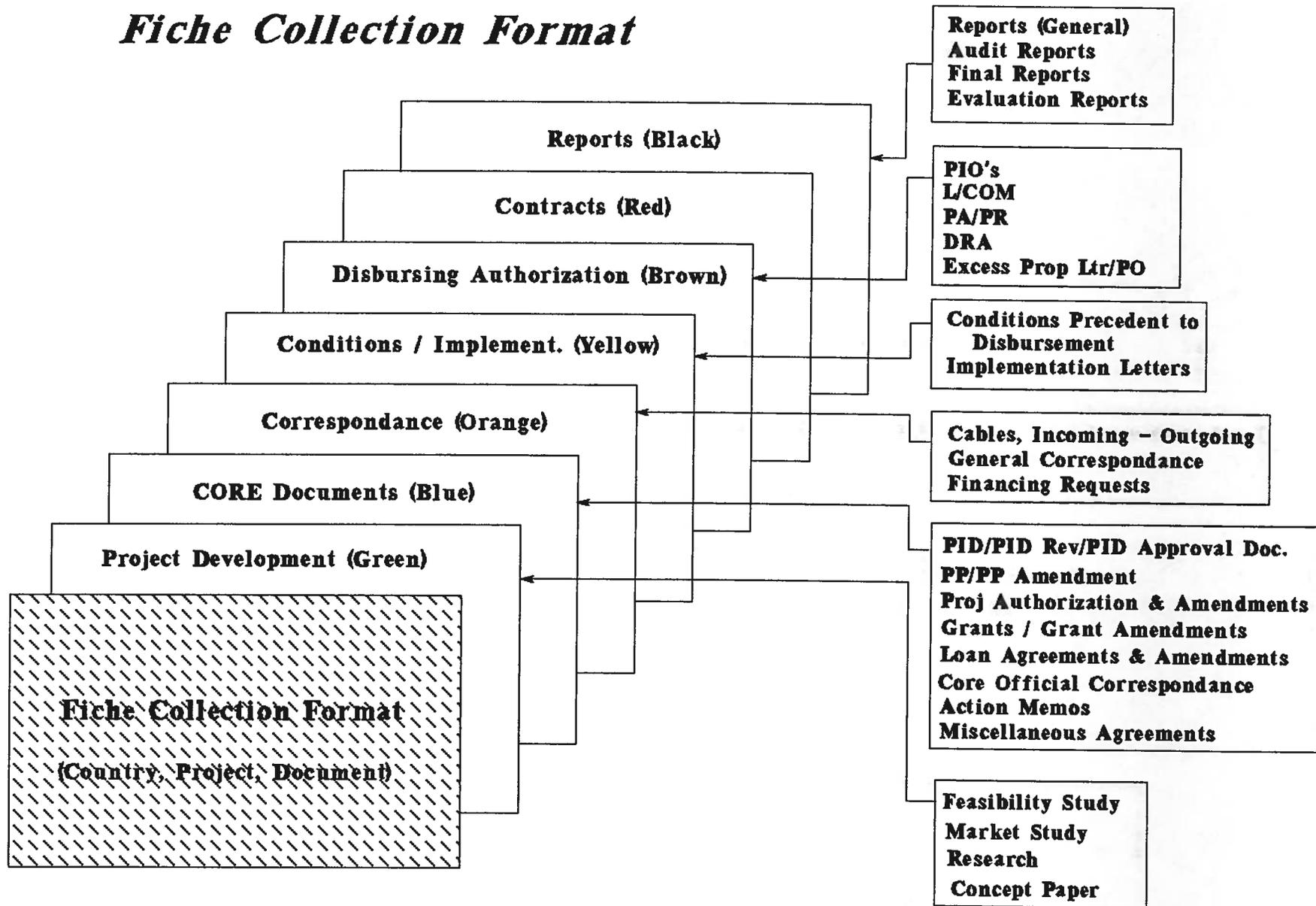
## ***Basic APDMS File Organization***

- **By Country**
- **By Project Number**
- **By Document Type:**
  - *Project Development*
  - *Core Project Documents*
  - *Correspondance*
  - *Conditions Precedent to Disbursement*
  - *Disbursing Authorization*
  - *Contracts and Contract Amendments*
  - *Reports*

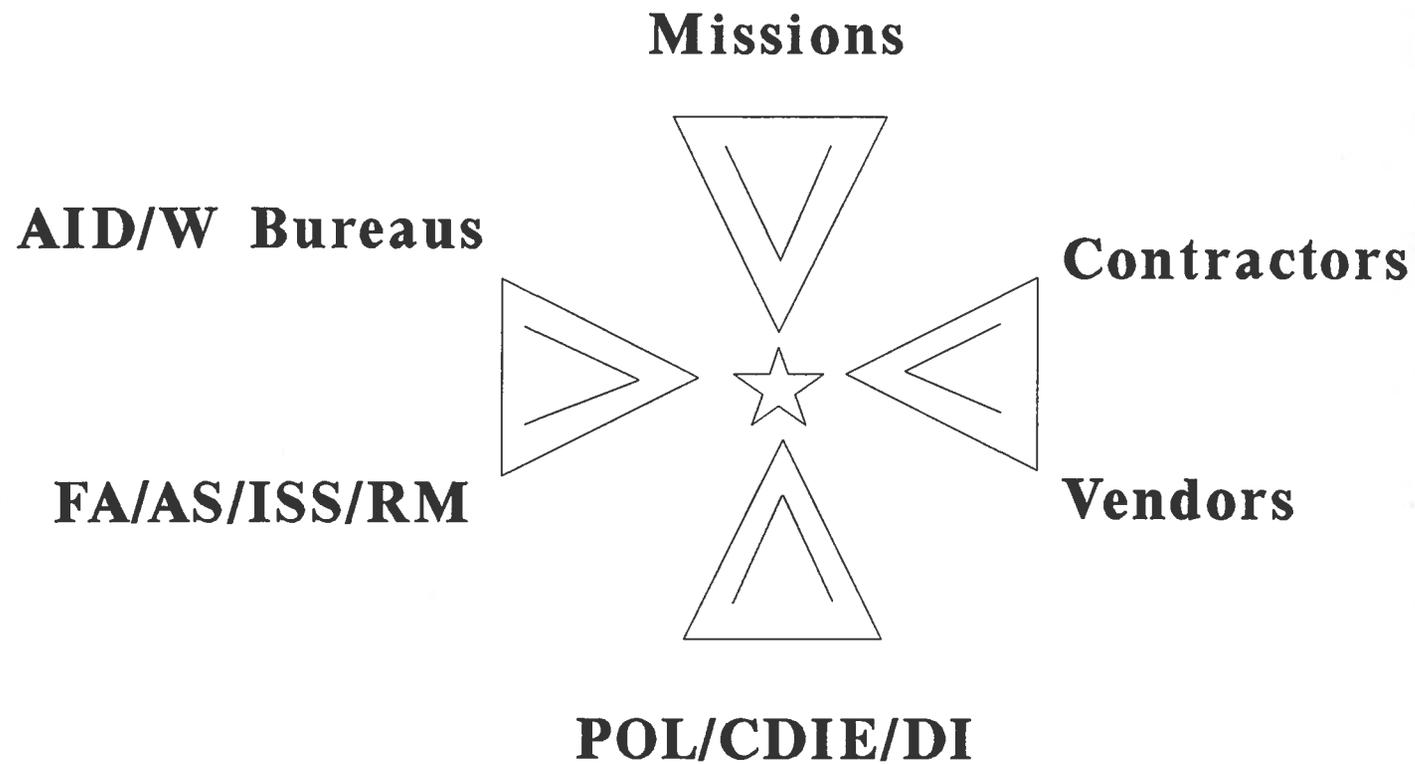
# *File Organization*



# *Fiche Collection Format*



# Who is Involved?





**Missions**

**AID/W**

**General Public**

**Congress**

**Library Community**

**Stakeholders**

**Info Science  
Community**

**OMB**

**Executive**

**Public Advocacy  
Groups**

**Private Sector**

## Who is Involved?

- **Project Officers**
- **Technical Officers**
- **Central Files Personnel in each geobureau**
- **FA/AS/ISS/RM – Records Management**
- **POL/CDIE**
- **Management and Service Contractor – LTS, responsible for operating the A.I.D. Development Information Services Clearinghouse (DISC)**
- **Equipment Suppliers and Vendors**

## **Role of MAIL/FILE Unit (C&R)**

- **Houses complete set of project documents, in fiche form, maintained by Bureau**
- **Interfiles fiche of new, in-coming documentation into Bureau's master fiche collection**
- **Serves as APDMS facilitator**
- **Updates CORE Collection of microfiche organized by:**

## **Mail/File Unit (cont'd)**

- **Will have fiche-to-paper printer when paper copy is needed.**
- **Will have fiche-to-fiche duplicator to make extra copy of fiche to meet special single fiche needs.**

**(Note: Large volume fiche duplication should be arranged through contractor of SER/MO).**

- **Will serve as central point for problem resolution/expedition between A.I.D. Staff/Contractor/Users.**
- **Will have computer terminal linked to data base management system (containing fiche header information as well as A.I.D's entire development information system).**
- **Provide quality control of contractor/vendor work.**

## **Contractor Support**

- **Provide orientation on Systems/Procedures.**
- **Establish controls/procedures and perform filming/processing to assure creation of quality fiche.**
- **Acquire/Install Readers, Printers, Duplicators, Storage Trays.**
- **Control/Update Silver Master (Archive) Fiche Collection.**
- **Control/Update Silver Duplicate Fiche Collection (used to make diazo copies).**
- **Provide facsimile service between A.I.D.-Contractor Site for quick response demand for hard copy of materials in process.**
- **Provide special paper copy search/delivery service for documents stored in archives after filming.**
- **Provide user assistance/technical support.**

# **Who Uses the System?**

- **Project Officers**
- **Technical Officers**
- **Inspector General**
- **General Counsel**
- **General Accounting Office**
- **Contractors**

# APDMS: Future Targets

## *Exploit Existing Database Resources -*

- **Expand database structures to be more meaningful**
- **Standardize document classification scheme across all participating bureaus**
- **Build linkages to institutional memory (DIS)**
- **Make computer indexes (databases) more readily available Agency-wide by building connection to Agency LAN(s)**
- **Expand audience for training**
- **Improve the user interface to APDMS databases**
- **Advertise the existence of APDMS databases as an records and information management resource**

# **APDMS: Future Targets**

## **Key Fields for Proposed Standardized Database Structure**

**Document Identification Number**

**Project Number**

**Project Title**

**Sub-Activity Title**

**Contract / Grant Number**

**Instrument Number (PIO's, Cable)**

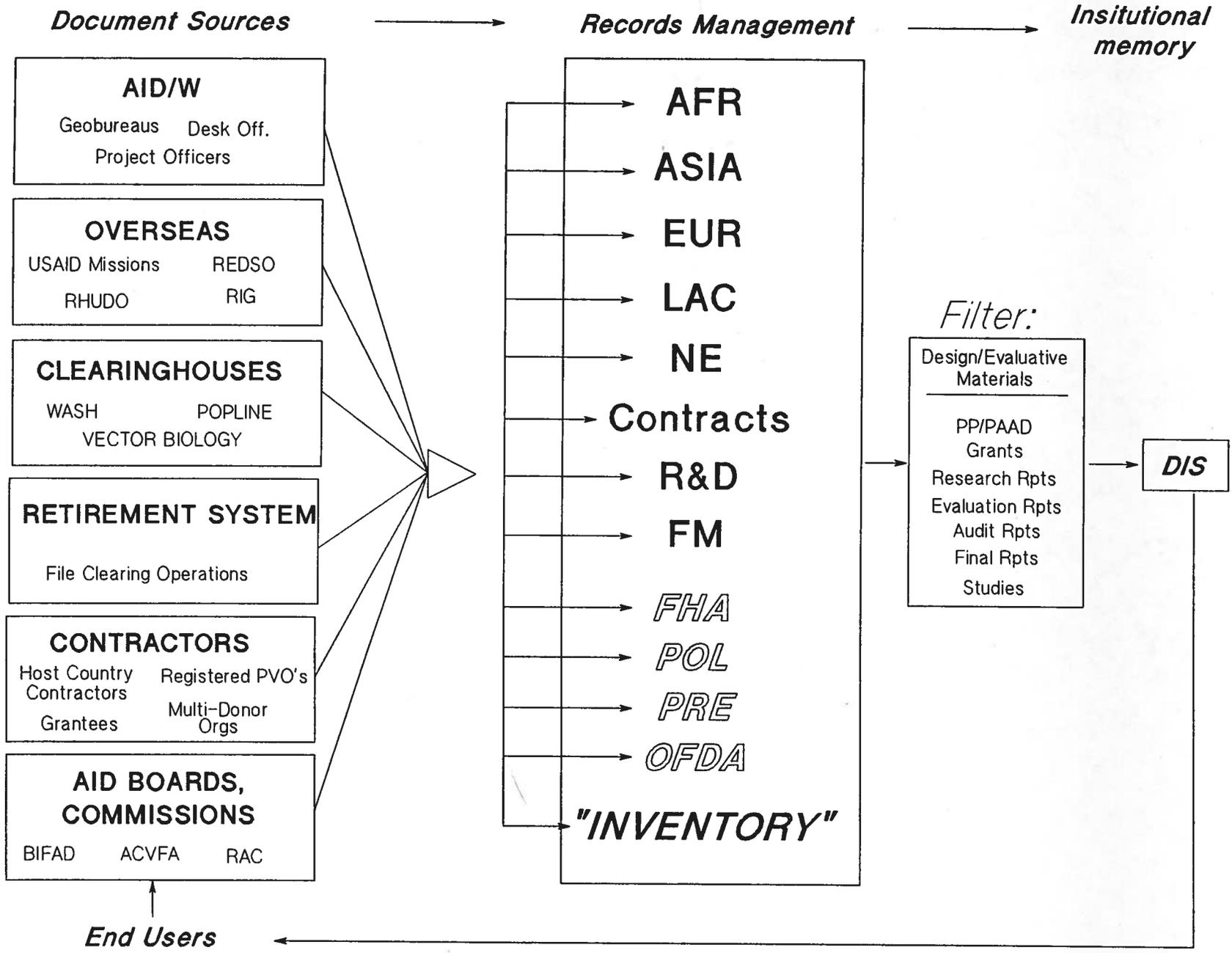
**Document Title**

**Document Author**

**Bibliographic Type**

**Contractor Name**

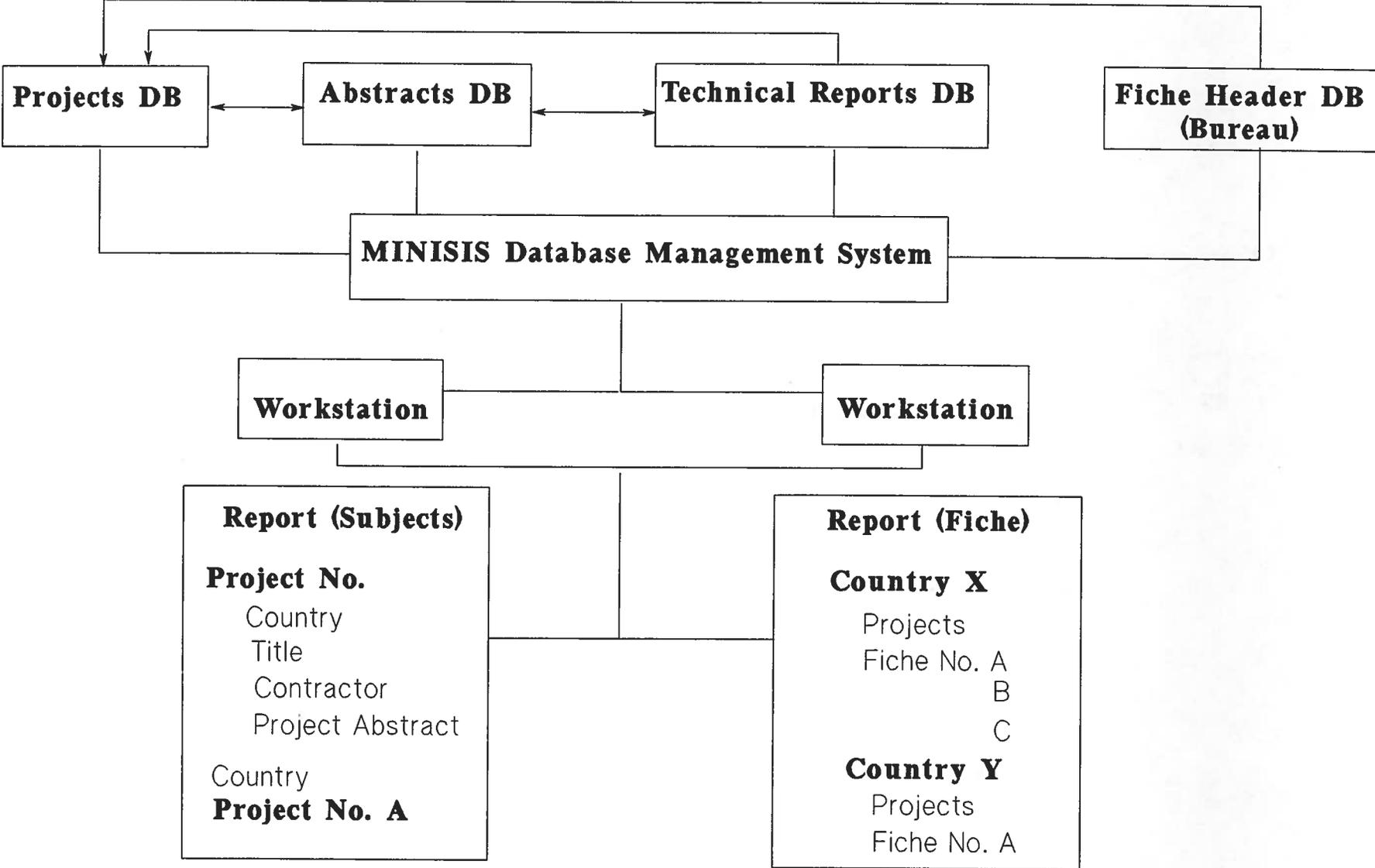
**Beginning Date of Document**



## **Integration / Compatibility with Other Agency-Wide Information Storage and Retrieval Activities**

- **POL/CDIE has an existing fiche collection of over 34,000 technical reports and selected document on over 9,000 projects. APDMS automatically provides project documents for ALL participating Bureaus to POL/CDIE, thus assuring more comprehensive coverage of project documentation.**
- **POL/CDIE serves as a central depository for all bureaus thus providing back-up to individual bureau fiche collections.**
- **APDMS permits improved access to the Development Information System (DIS) database for automated search and retrieval.**
- **APDMS eliminates the bureau's problem of having to provide project document paper copies to POL/CDIE.**
- **All users can search the DIS and request project/technical documents that are provided in the standard microfiche format.**
- **Standardized indexing and filing organization can facilitate improved document filing and retrieval regardless of media or format (i.e. paper, fiche, electronic)**

# APDMS Link to DIS



# APDMS: Future Targets

*Explore Alternatives to Micrographics –*

- **Perform feasibility study**
- **Establish pilot**

# APDMS: Future Targets

## *Requirements for Change -*

- **Commitment**
- **Authorization**
- **Support**