U.S. Agency for International Development
Center for Development Information
and Evaluation

Development Information Services Clearinghouse

Operations Manual

0.0 DISC Overview

The A.I.D. Development Information Services Clearinghouse (DISC) is operated under contract to provide technical support for the information service program of the Center for Development Information and Evaluation's Development Information division (PPC/CDIE/DI). Established in 1981, the DISC is a comprehensive facility that provides access to and systematically manages A.I.D. generated development project and program experience as captured on the Agency's institutional memory, the Development Information System (DIS).

This manual describes the operating procedures for each of the DISC's various departments and actvities.

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1.1 HP 3000/947 SYSTEM DESCRIPTION

The A.I.D./DISC operates a Hewlett-Packard 3000/947 minicomputer with 32 megabytes (MB) of memory. The following peripheral devices are attached to this computer (directly or remotely):

- 2 7937H disc drives, each with a capacity of 571MB
- 1 C242R dual disc drive, each disc with a capacity of 1300MB
- 1 7980A tape 9-track drive
- 1 C2475F 1300 MB DAT tape drive
- 1 2345A datacommunications controller with 32 3-pin connectors suitable for hard-wired terminals or PC's
- 1 2345A datacommunications controller with 24 15-pin connectors suitable for modems or hard-wired terminals or PCs
- 1 HP LaserJet 2000 printer
- 1 HP LaserJet printer
- 1 HP RuggedWriter printer
- 3 Racal-Vadic 2400 baud modems
- 1 HP SupportLink 1200 baud modem
- 10 Intel 14.4ex modems

The computer is currently operated using MPE iX version B.40.00. Purchased software currently available on the HP 3000 consists primarily of the MINISIS relational database software, HP COBOL, HP GlancePlus MPE/iX, HP Edit/iX, Image and ALLBASE. Minisoft and Business Sessions for Windows are used for terminal emulation by PCs. About 120 COBOL programs, written in-house, are also used.

1.1.1 Inventory of HP-used Software

- MINISIS version G
- ALLBASE
- HP GlancePlus MPE/iX
- HP Edit/iX
- Image
- MPE iX B.40.00
- HP COBOL
- COBOL programs written in-house

1.1.2 Backup Scheme

Each Monday thru Thursday a Partial Backup is administered (for all files that have changed since the last full backup), in order to maintain the data integrity of each day's work. Each Friday a Full Backup is administered, which maintains all system and user files. For Full Backup data storage, there are 17 seventeen sets of DAT tapes, which are recycled every four months. Every Four months

the backup tapes are taken out of the normal rotation, for a full year, in order to maintain a quarterly information reference in case of a problem.

For system integrity purposes, in case of an emergency, the previous week's DAT tapes are sent to:

Pat Woodberry
PPC/CDIE/DI
SA-18 RM 303
Washington, DC 20523-1803

for off-site storage.

1.1.2.1 HP 3000/947 Backup Procedures

__Choose the correct DAT tape

__Make sure no one is on the system by typing at the colon prompt
:**SS**

__Make sure no jobs are running by typing at the colon prompt
:**SJ**

__If no one is on and no jobs are running you can start, but if people are on send everyone a message by typing at the colon prompt
:**TELL @S; THE BACKUP IS ABOUT TO BEGIN PLEASE LOG OFF**

__If jobs are still running you can suspend them by typing at the colon prompt
:**BREAKJOB #Jnnn** for each one (this does not happen ever - usually)

__Make sure no users or jobs can logon by typing at the colon prompt
:**JOBFENCE 14**
:**LIMIT 0,0**

__Raise the outfence so nothing can print by typing at the colon prompt
:**OF 14**

__Start the backup by typing at the colon prompt
:**STREAM NEWBKUP**

IT WILL TAKE TWO DAT TAPES - 2 1/2 - 3 HOURS

__When the message reads that it is done, let the printout begin by typing at the colon prompt :**OF 6**

__Make sure you submit the stream jobs by typing at the colon prompt
:**DAILYJOB**
USE SYSTEMS MANAGER/SUPPORT SPECIALIST'S LIST TO SUBMIT THE OTHER JOBS

__Make sure you resume the jobs you suspended by typing at the colon prompt
:**RESUMEJOB #Jnnn**

__Make sure the jobs can logon by typing at the colon prompt
:**JOBFENCE 0**
:**LIMIT 2,30**

1.1.3 Disaster Recovery

Having an alternate hot-site computer immediately available in the event of a disaster to our current system has been deemed inappropriate due to the expense of these services and the fact that having the system continuously available is more a matter of user convenience than of critical operation. A maintenance agreement covers repair of any routine hardware problems and insurance would cover replacement in the event of a physical disaster. Regular backups to tape and off-site storage of a set of tapes would provide a means of eventually recovering all but the most recently entered data. In addition, the DOCUMENT and PROJECTS database systems are published on CD-ROM quarterly and distributed to many agency offices. These would provide query access to these databases, except for recent entries, if the on-line system were not available. Four of the bureau offices are also recieving their databases on CD-ROM.

1.1.4 Maintenance Agreement

A contract (renewable annually) exists with Hewlett Packard for hardware and software support.

Hardware support provides for repair of the HP 3000/947 and the attached disc drives, datacommunication controllers, tape drives, LaserJet 2000 and RuggedWriter printers, and three terminals (including the system console). Response time for requested repairs is the next business day.

Software support covers the basic HP MPE operating system and related utilities, plus COBOL, HP Edit, and GlancePlus XL. This entitles us to upgrades of the systems, and unlimited telephone consulting during regular business hours.

The HP support contract also provides HP's Predictive maintenance software. This is run once a day; it checks the system log file and if certain potential problems are noted it will list these on a printout and transmit a file to the HP Response Center computer for analysis.

Updated versions of the HP manuals and system notes are sent every two months on CD ROM.

1.1.5 Contacts

End user support:
AID-DISC
HP Computer staff or Computer trainer
703-351-4006

Support covered by HP Maintenance Agreement (call must be placed by a registered member of the HP Computer staff):
1-800-633-3600

HP support contract renewal or modification:
Nancy Pearson
Hewlett Packard Co.
2101 Gaither Rd.
Rockville, MD 20850
301-258-2232

HP Sales Representative:
Dana G. Kline
Hewlett Packard Co.
2101 Gaither Rd.
Rockville, MD 20850
301-258-2245

1.1.6 Procedures

Daily - A command file is executed daily which submits batch jobs to lower the job fence in the evening and allow batch processed to run, raise the job fence in the morning to give priority to interactive users and short batch jobs, run HP's predictive maintenance software, and execute the partial backup.

Weekly - In addition to the full backup, jobs are run every week to check selected groups and accounts for files that have not been accessed in the last two weeks and to purge these files if they have not been accessed after user notification.

Monthly - At the beginning of the month, stream jobs are run to generate system usage statistics to report the monthly and cummulative yearly CPU, printer, user, group, and account productivity.

Ad Hoc - Printouts are distributed several times during the day to on-site users and are packaged for delivery to off-site users by the daily courier run or by mail. Special forms (e.g. labels) are loaded on the printer if needed. Tapes for data transfer are created as requested. Files in the groups and accounts not included in the weekly analysis are checked and purged if they are no longer needed.

New versions of the HP operating system and patches for bugs in the current operating system are installed as received.

1.2 MINISIS

MINISIS is a modified relational database management system which was created by the Canadian government's International Development Research Centre. It was designed to be particularly appropriate for bibliographic databases, but has a database design utility which gives users the flexibility to create databases with fields suitable to their needs. Utility programs are provided for database design and maintenance, for data entry and modification, and for doing queries, sorts, computes, and reports with the data entered.

Our system currently has about 190 databases consisting of about 50 main data files, 40 decode data files, and 100 additionial views created by redefining or combining main and decode data files. The database DBASERD contains descriptions of these databases and of predefined formats for reports from each database. An editor file (DBSRCH) which can be displayed by typing FILES at the > prompt in MINISIS QUERY describes the most used databases and print formats.

1.2.1 Periodic Batch Data Transfers

DATA IMPORTS:

MINISIS DATABASE	SOURCE	UPDATE FREQUENCY
CATRD	CDIE LAN (The Assistant)	Monthly
AIDRD	AID mainframe (RAMPS)	Quarterly
CIMSRD	AID WANG (CIMS)	Semi-Annually
PRJATHRD	AID mainframe (PBAR & BUDGET 15)	Annually
MISRD	CDIE LAN (MIS)	Ad Hoc

DATA EXPORTS:

MINISIS DATABASE	RECIPIENT	FREQUENCY
DOCUMENT (subset)	IDRC (Canada)	Semi-Annually
DOCUMENT (subset)	DAC (Canada)	Semi-Annually
PROJECTS	INDIX CD	Ad Hoc

1.2.2 The design of the document dataset - DOCUMENT

The DOCUMENT data submodel (DS) has the following structure:

First component: DOCRD (components appear in parentheses)

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	B224/INSTAC	(DOCRD)	<*	B224/INSTAC	(INSTB22)	RD K
2.	B324/INSGAC	(DOCRD)	<*	B324/INSGAC	(INSTB32)	RD K
3.	B614/PUBAC	(DOCRD)	<*	B614/PUBAC	(INSTB61)	RD K
4.	ISN	(DOCRD)	<+	ISN	(DOCABST)	RD M
5.	D010/BIBTYP	(DOCRD)	<+	D010/BIBTYP	(BIBTYPE)	RD K
6.	C100/AIDGEO	(DOCRD)	<+	C100/AIDGEO	(AIDGEO)	RD K

Join rules 1 - 3 decode the institution authority code. INSTB22, INSTB32, and INSTB61 share the same KSAM file. Join rule 4 links to the abstract database. Abstracts are stored separately because of their large size. Join rule 5 decodes the bibliographic type code. Join rule 6 decodes the AID geographic code.

1.2.3 The design of the abstract database - DOCABST

The RD DOCABST contains the following fields:

Source document ID no.	SDOCID	P440
Design abstract project no.	PROJ9	P450
Abstract	ABSTR	C310
First paragraph flag	PARA1	C311
Abstract paragraph	ABST	C312

SDOCID and PROJ9 do not function as pointers. They identify the abstract so that the RD can be accessed independently and they also act as a safety device in case the project/document relationships need to be reconstructed. Also, SDOCID identifies the source of the abstract for the project user view. PROJ9 is used to indicate the abstract is a project abstract. This is helpful when printing an integrated project/document report: The abstract is prevented from being displayed twice. (DOCRD and PROJRD contain forward pointers to DOCABST ISN's.)

1.2.4 The design of project datasets -

PROJECTS/PRJDOC/PRJDOC2/PRJDOC3/PRJDOC4

The following project data submodels build onto the same core set of project records, adding fields from other components.

1.2.4.1 The PROJECTS dataset

PROJECTS has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	P030/GEOCD	(PROJRD)	< +	P030/GEOCD	(GEO2)	RD K
2.	P010/PROJ7	(PROJRD)	< +	E000/PROJ7	(PRJATH2)	RD M
3.	P430/ABISN	(PROJRD)	< +	ISN	(PROJAB2)	PS M
4.	ISN	(PROJRD)	< +	ISN	(LOGFRAME)	RD M
5.	P000/PROJ9	(PROJRD)	< +	K000/PROJ9	(PJACSI2)	RD M

Comments:

GEO2 is a redefinition (a.k.a. 'copy') of AIDGEO.

PRJATH2 is a redefinition of the RD PRJATHRD. PRJATH2 is used only as a component of project DS's with PROJRD as the root. The difference between PRJATH2 and PRJATHRD is PRJATH2 uses a different set of Btrees for fast access fields. PRJATH2 Btrees point to PROJRD ISN's while PRJATHRD Btrees point to PRJATHRD ISN's. (PRJATHRD ISN's do not correspond with PROJRD ISN's. Some projects on PRJATHRD are not on PROJRD and vice versa.)

Having two RD's share the same master/xref file is a way of avoiding the less (CPU time) efficient PS structure. This works when only needing to redefine inversion criteria, not rename tags or some other PS function. The problem is that any change made to the main RD must also be made to the other RD.

PROJAB2 is a PS of DOCABST. It renames the tags so that they can be differentiated from document-level abstracts (see PRJDOC2).

LOGFRAME is an extention of the PROJRD record. ISN's match.

PJACSI2 is a redefinition of PJACSIRD which contains project numbers and the associated activity and special interest codes. The data was downloaded from the IBM mainframe. The redefinition has Btrees pointing to PROJRD ISN's so these fields can be searched in PROJECTS.

1.2.4.2 The PRJDOC dataset

PRJDOC supplies the same information as PROJECTS with additional document-level

information. It has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	P030/GEOCD	(PROJRD)	<+	P030/GEOCD	(GEO2)	RD K
2.	P010/PROJ7	(PROJRD)	<+	E000/PROJ7	(PRJATH2)	RD M
3.	P430/ABISN	(PROJRD)	<+	ISN	(PROJAB2)	PS M
4.	ISN	(PROJRD)	<+	ISN	(LOGFRAME)	RD M
5.	P000/PROJ9	(PROJRD)	<+	K000/PROJ9	(PJACSI2)	RD M
6.	ISN	(PROJRD)	<+	ISN	(LINKRD)	RD M
7.	P701/DOCISN	(LINKRD)	<*	ISN	(DOC3PS)	PS M
8.	P703/BIBTYP	(DOC3PS)	<*	P703/BIBTYP	(BTYPP70)	RD K

Comments:
Join rules 1 - 5 are same as PROJECTS.
Join 6. LINKRD contains the following fields:

More documents on document DB?	MORE	P640
Related documents	RELDOC	P700
Document ISN	DOCISN	P701

The DOCISN field is a pre-sorted list of DOCRD ISN's of all documents related to the current project. Documents are sorted by publication date. LINKRD is maintained automatically.

Join 7. DOC3PS projects selected fields from DOCRD, renaming tags for use in a left-inner join. A left-inner join was needed because a left outer join (such as used in PRJDOC2) was too slow for on-line browsing.

Join 8 decodes the bibliographic type code.

1.2.4.3 The PRJDOC2 database

PRJDOC2 has the same data as PROJECTS, plus full document-level data for related documents. It has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	P030/GEOCD	(PROJRD)	<+	P030/GEOCD	(GEO2)	RD K

2.	P010/PROJ7	(PROJRD)	<+	E000/PROJ7	(PRJATH2)	RD M
3.	P430/ABISN	(PROJRD)	<+	ISN	(PROJAB2)	PS M
4.	ISN	(PROJRD)	<+	ISN	(LOGFRAME)	RD M
5.	P000/PROJ9	(PROJRD)	<+	K000/PROJ9	(PJACSI2)	RD M
6.	ISN	(PROJRD)	<+	ISN	(LINKPS)	PS M
7.	P701/DOCISN	(LINKPS)	<+	ISN	(DOC2RD)	RD M
8.	D010/BIBTYP	(DOC2RD)	<+	D010/BIBTYP	(BIBTYPE)	RD K
9.	P701/DOCISN	(LINKPS)	<+	ISN	(DOCAB2)	RD M
10.	B224/INSTAC	(DOC2RD)	<*	B224/INSTAC	(INSTB22)	RD K
11.	B324/INSGAC	(DOC2RD)	<*	B324/INSGAC	(INSTB32)	RD K
12.	B614/PUBAC	(DOC2RD)	<*	B614/PUBAC	(INSTB61)	RD K

Comments:

Joins 1 - 5 are same as PROJECTS.

Join 6. LINKPS is a PS of LINKRD with flattening applied to field P700. It is important that a flattened PS be used and not the *FLATTEN command. Using LINKPS, if there is no data in P700 (i.e., there are no related documents) a DS record is still delivered up and includes the data retrieved up to that point in the joins. In contrast, if LINKRD is used with a *FLATTEN command and if there is no data in P700, no DS record results.

DOC2RD is a copy of the DOCRD database definition with all inversion turned off. See comments under PROJECTS for explanation of two RD's sharing same master file. DOCAB2 is a copy of DOCABST.

Joins 8 - 12 assemble the same information as the DOCUMENT DS.

1.2.4.4 The PRJDOC3 dataset

PRJDOC3 supplies the same information as PROJECTS with additional document-level information for all related documents. It has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	P030/GEOCD	(PROJRD)	<+	P030/GEOCD	(GEO2)	RD K
2.	P010/PROJ7	(PROJRD)	<+	E000/PROJ7	(PRJATH2)	RD M
3.	P430/ABISN	(PROJRD)	<+	ISN	(PROJAB2)	PS M
4.	ISN	(PROJRD)	<+	ISN	(LOGFRAME)	RD M
5.	P000/PROJ9	(PROJRD)	<+	K000/PROJ9	(PJACSI2)	RD M

6.	P000/PROJ9	(PROJRD)	< +	D100/PROJ9	(DOC4PS)	PS M
7.	D010/BIBTYP	(DOC4PS)	< +	D010/BIBTYP	(BIBTYPE)	RD K

Comments:
Join rules 1 - 5 are same as PROJECTS.

Join 7. DOC4PS projects selected fields from DOCRD, removing the Btrees (which would point to DOCRD ISN's) for all fields except the join field (D100).

Join 7 decodes the bibliographic type code.

1.2.4.5 The PRJDOC4 dataset

PRJDOC4 supplies the same information as PRJDOC3 but only if the project is the prime development project. It has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	P030/GEOCD	(PROJRD)	< +	P030/GEOCD	(GEO2)	RD K
2.	P010/PROJ7	(PROJRD)	< +	E000/PROJ7	(PRJATH2)	RD M
3.	P430/ABISN	(PROJRD)	< +	ISN	(PROJAB2)	PS M
4.	ISN	(PROJRD)	< +	ISN	(LOGFRAME)	RD M
5.	P000/PROJ9	(PROJRD)	< +	K000/PROJ9	(PJACSI2)	RD M
6.	P000/PROJ9	(PROJRD)	< +	D200/PRJDEV	(DOC5PS)	PS M
7.	D010/BIBTYP	(DOC5PS)	< +	D010/BIBTYP	(BIBTYPE)	RD K

Comments:
Join rules 1 - 5 are same as PROJECTS.

Join 6. DOC5PS projects selected fields from DOCRD, removing the Btrees (which point ot DOCRD ISN's) from all fields except the join field (D200).

Join 7 decodes the bibliographic type code.

1.2.5 Maintaining the DIS structure

1.2.5.1 Maintaining LINKRD

The LINKRD database is used to maintain correspondence between projects and documents. It contains the same ISNs as PROJRD ... plus a repeating field of DOCID ISNs pertaining to the project, with related titles.

LINKRD is maintained by the batch job CLINK.STREAMS. The entire database is erased amd rebuilt during a run of CLINK.

1.2.5.2 Making changes to RD's

Since datasets may include several (relational) databases, i.e. RD's, it is important when making changes to a database to review the database dictionary (DBASERD) to see if other datasets are formed with the database as a component. Changes made to one database should be made to the others.

1.2.5.3 Maintaining PRJATHRD

References

OM01JOBS (Lines are 132 positions in length) contains the JCL and comment describing the six steps performed to extract data from AID/IRM files. This document is maintained separate because it is expected to change each update.

OM011986 describes the 1986 update processes and identifies each AID/IRM element used to update PRJATHRD.

OM011987 summarizes the changes made in 1987 to the six steps performed to extract data from AID/IRM files.

OM011988 summarizes the update that took place in Spring of 1988. Further, the document includes recommendations for updating monthly from A101, and annually from PBAR.

1.2.5.3.1 General comments

PRJATHRD is the MINISIS database built from project information read on AID/IRM files. It contains a record for each development assistance project funded by AID since FY74. It provides descriptions of completed, active, and some planned projects.

1.2.5.3.1.1 Purposes of PRJATHRD database

The main purpose of the PRJATHRD database is to improve the design and implementation of A.I.D. projects. The database is used to identify projects found on AID/IRM files during the year - usually after the annual Congressional Presentation data is made final.

Technical functions performed by PRJATHRD include:

a. PRJATHRD is used to update the DISC's principal project database component (PROJRD) each time it is built.

   (1) New projects are added to PROJRD.
   (2) Projects that are no longer on AID/IRM files are removed from PROJRD if we have not found any additional documentation on the project.
   (3) New data is posted to 'matching' project records.

For example, 6,592 project records were read on AID/IRM files in June 1988. 237 were added to PROJRD. 49 PROJRD records were removed because they were not found on AID/IRM files. New data was posted to 6,355 existing and matching records.

b. PRJATHRD is decoded into the dataset PROJAUTH and is often accessed directly.

c. PRJATHRD is also redefined and used as a component of PROJECTS.

1.2.5.3.1.2 Source of PRJATHRD data

PRJATHRD information is obtained from three AID databases. These are: PBAR, BUDGET15, and ACCT. PBAR is the source of nearly all data elements. PBAR contains projects financially active FY 74 and since. It also includes some planned and "shelved" projects.

PBAR provides the core set of projects for PRJATHRD. To this set is added projects on BUDGET15 which do not appear on PBAR. These include planned and shelved projects as well as financially active non-project assistance (such as Commodity Import Support or PL480 Food for Peace programs). ACCT is only used to obtain two elements, total expenses and total obligations.

1.2.5.3.1.3 Update Processes

Operational steps performed to update PRJATHRD are described at the end of this chapter. Computer code used to read AID/IRM files on the AID/IBM mainframe computer is shown in the document, OM16JOBS. This code often has to change. It is subject to changes made to AID/IRM - or - AID/DISC files.

a. Updating PRJATHRD from PBAR Data entails:

PBAR data is first sorted by (9-pos.) project number. Data may come from one or more records for a single project. The first record read with a unique (7-pos.) project number initiates a posting of 'core' data (i.e. the presence of the project, its title and the bureau name). The first and all subsequent project records on A101 for the same 7-pos. project effect the posting of the CY fiscal data to appropriate repeating fields of the PRJATHRD record.

b. Updating PRJATHRD from BUDGET15 data entails:

AID uses a database called BUDGET as a working file for preparing the annual Congression Presentation (CP). BUDGET contains proposed projects for the coming fiscal year (the "budget year") as well as new project starts for the current fiscal year (the "operational year"). The CP is supposed to be presented to congress in mid January although it is sometimes delayed. After the CP is presented, data in BUDGET replaces the old BUDGET15.

PRJATHRD provides funding amounts and other data items at the project level only. Therefore, the subproject records of a project all have the same funding amounts - those of the overall project - they are not broken down by subproject.

1.2.5.3.1.4 Update frequency

PRJATHRD is updated annually, after BUDGET15 is recreated following the Congressional Presentation. Updates may (and have) occur more frequently, however, the amounts and types of new and changed data will not be the same as during the annual update.

1.2.5.3.1.5 Disparate records

The projects database was created in 1977 in a different system with different abstracting guidelines and record formats. Earlier records can be identified because they are shorter, uppercase, and less complete.

Indexing philosophy changed since the projects database was initiated. New indexing guidelines were instituted in 1983.

1.2.5.3.2 Origins of DISC's Prjathrd Data Elements: (1986)

Project Authority Data Elements
ABS/CP Status/Use

Item	Element Name	Current PRJATHRD Data Base
A/C	1. Project Number.	
	2. AID Geographic Code.	
A/C	3. Short Project Title.	
	4. Bureau Symbol.	
	5. Bureau Name.	
A/C	6. Decision Unit Name.	This item (country) appears in about 1/2 the records.
A/C	7. Beginning Fiscal Year.	
A/C	8. Ending Fiscal Year.	
A/C	9. Status.	This item is derived from an algorithm which assigns the the project status based on the first appropriation record in a sorted BUDGET15 file.
	10. Project Type.	5,700 are coded 'P', 41 are coded 'N'.
	11. Purpose Code.	Over 1,000 different codes.
	12. Primary Technical Code.	Over 300 different codes.
A/C	13. Loan/Grant Code.	5,074 are coded 'L', 1,104 are coded 'G'
C	14. Code.	About 30 different codes.
A/C	15. Life of Project Cost.	
A/C	16. Total Life of Project Cost.	Item can be derived.
C	17. Total Obligations.	
C	18. Total Expenses.	
	19. Secondary Technical Codes.	About 500 different codes.
	20. Special Concern Codes.	About 75 different codes, in only 2,916 records.
	21. Functional Subcategory Codes.	About 99 different codes, in only 2,913 records.
A/C	22. Source.	5,310 are coded 'PBAR', 431 are coded 'BUDGET15'.
	23. Label Litl.	This item is not used at all.

1.2.5.3.3 Creating a new PRJATHRD

This section describes how to read data from three data bases (PBAR, BUDGET15, and ACCT) on the AID/IBM computer and write a tape with selected information. The tape is then used to recreate the PRJATHRD and PRJATHK2 data bases, and update the PROJRD data base on the HP3000 computer.

Steps 1 through 6 are performed online to the AID/IBM computer to create a tape. These procedures are subject to change frequently. Thus, they are documented under separate cover, in a document identified as OM16JOBS.

After completing step 6, the computer tape is shipped to the DISC for processing on the HP3000 (steps 7 to 12). The operations may take days or weeks, depending on whether changes were made in either computer environments which affect these operations.

1.2.5.3.3.1 Step 1 - Preparation

a. Before starting the HP update, call PPC/PB (Robert Hudec) to confirm that BUDGET15 has been updated. Also ask about any database structure changes on the IBM or any software updates to SAS or INQUIRE. If any of these components differ from last year, changes may be needed in existing data collection jobs.

b. Sign on to TSO to prepare for the extraction. The phone number for the AID IBM machine is 673-5821. Our userid for TSO is D520LW. The normal logon command is:

:d520lw/password proc(inq)

1.2.5.3.3.2 Step 2: Query the INQUIRE Databases

a. Sign on under TSO. (Use D520LW as USERID)
b. If the fiscal year has changed since the last transfer of project data, edit the dataset containing the INQUIRE query. Type:

edit 'D520LW.PRJATH.QUERY.DATA'

The OBL and EXP fields in query #4 at the COMPUTE subcommand need to be changed in this step. The goal is to collect information on 5 prior years. For example, in the Spring of 1987, the numbers were changed from 81 82 83 84 85 to 82 83 84 85 86. CDIE is advised against including the current fiscal year OBL and EXP data, because they are inaccurate and subject to change. Be sure to SAVE the new job file after the year numerals are updated.

c. Next, delete this dataset file. Type:

delete 'd520lw.tapefmt.sasdata'

If this is the first time you have done Step 2 this year, there will be an error message saying that the file doesn't appear in your catalog. That's okay.

d. Next comes the more lengthly part. Submit the query job and write down the job number.

submit 'd520lw.prjath.query.job'

After the query job has been submitted, take a break. The job takes about 2 hours to run successfully. If it finishes in just a few minutes, then something definitely went wrong.

e. Review the completed job for error messages.

OUT D520LWW(JOB####) HOLD KEEP

Investigate all error messages! One possible cause of trouble is changes to database structure on the IBM. Another potential concern is changes to IBM software, i.e. SAS and Inquire. If you have to submit the job again, be sure to delete the TAPEFMT.SASDATA file first.

1.2.5.3.3.3 Step 3: Clean SAS datasets

This step sorts and cleans up the datasets created in Step 2. It takes about 20 minutes to run successfully. Run it
interactively, through SAS.

a. Sign on to TSO and enter SAS. Type:
sas
b. After SAS opening messages appear, type:
?tso alloc f(inc) da('d520lw.prjath.fix.data') old;
?%include inc;
?%prepare(CY) <A number is substituted for CY>

c. Now SAS runs the FIX procedures. Explanation:
* CY = current fiscal year. This macro does a lot of massaging of data. One of the first things it does is to make sure the TSO dataset 'D520LW.PRJATH.SASDATA' is deleted. If the dataset does not exist, a TSO error will appear. This error may be ignored.

* It sorts the SAS datasets and copies them to the new dataset library 'D520LW.PRJATH.SASDATA'. Various sort procedure messages will be displayed.

* The macro then proceeds to fix up the datasets. Error messages should be investigated and solved. The process may have to be restarted from either the Query or the Fix.

1.2.5.3.3.4 Step 4: Create Macros for MINISIS Batchin files

This step creates two ASCII files in Minisis BATCHIN format.

a. Sign on to TSO and enter SAS. Type

```
sas
? tso alloc f(put) da('d520lw.prjath.put.data') old;
? %include put;
? %setup
```

Allocates the necessary datasets. Attempts to delete certain datasets. If the datasets do not exist, TSO error messages will be received. Disregard them.

```
? %batch1
```

Creates one Batchin format file, called D520LW.PRJATH.BATCH1.DATA.

```
? %batch2
```

Creates another Batchin format file, called D520LW.PRJATH.BATCH2.DATA.

```
? endsas
```

Inspect the two new batchin format files using the TSO LIST command. If they are acceptable, you are ready to create a tape.

1.2.5.3.3.5 Step 5 - Copy Files to Tape.

Submit the COPY job. Type:

```
submit 'D520LW.PRJATH.COPY.CNTL'
```

After the job finishes, call the AID/IRM tape librarian (632-0122) to have the tape sent to Chris Wolter. Chris will forward the tape to the DISC when she receives it.

1.2.5.3.3.6 Step 6 - Backup the jobs

Submit the backup job. Type:

```
submit 'd520lw.prjath.backup.cntl'
```

fter the job has finished, BE SURE TO RECORD THE TAPE NUMBER. This number will be needed next year for the RESTORE job. Edit the RESTOREP member of the CLIST now to use the proper tape number.

1.2.5.3.3.7 Step 7 - Load batchin files onto the HP

The tape received from AID/IRM contains several files. Only two are of interest; the rest are tape and file identification headers. In 1988, the 2nd and 5th files were the 2 data sets. Mount the tape and do the following commands at the console:

```
:file tape;dev=7;rec=-48,80,f,ascii
:build batch1;disc=170000,32,1;rec=-48,5,f,ascii
:fcopy from=*tape;to=batch1;ebcdicin;skipeof=+1

<< takes about 90 minutes >>
:build batch2;disc=70000,32,1;rec=-48,5,f,ascii
:fcopy from=*tape;to=batch2;ebcdicin;skipeof=+4
<< takes about 30 minutes >>
```

If the files are in different positions, then adjust the SKIPEOF parameters above. After verifying that the tape data was loaded properly, fcopy the files to PABATCH1 and PABATCH2 in the DBLIB group of the MINISIS account. Then BATCH1 and BATCH2 may be deleted.

In 1989 the tape was an IBM labeled tape with the first 2 files of interest. The label name is displayed on the HP system console when the tape is mounted and put online. These files can be fcopied to the HP system using the following commands while logged on as MGR.MINISIS.

```
:file pa1=pabatch1.dblib;dev=disc;rec=-48,80,f,ascii;disc=164000 :file t;dev=tape;rec=-
48,80,f;label=000179,ibm,,1
:fcopy from=*t;to=*pa1;new;ebcdicin
        << for the first file>>
:file pa2=pabatch2;dev=disc;rec=-48,80,f,ascii;disc=60000
:file t;dev=tape;rec=-48,80,f;label=000179,ibm,,2
:fcopy from=*t;to=*pa2;new;ebcdicin
        << for the second file>>
```

For years after 1989, the first line in PABATCH1 should be !DB=PRJATHRD
If this is not the case it should be changed in EDITOR using SET RIGHT=48
SET LENGTH=48
SET DELTA=.001
T PABATCH1.DBLIB,UNN

1.2.5.3.3.8 Step 8: Load data onto PRJATHRD

All of these steps except the first one must be done while no one is using PRJATHRD or any of the databases of which it is a component, e.g. PROJECTS. The former method (prior to 1989) which used a temporary database to allow some of the loading to be done during normal

working hours while others are using these databases was not practical under MINISIS Version G, which does not allow a database to be purged while it is part of a DS.

o Check to see if the file PJSUBCAT.PERMFILE still exists. If not stream the job SUBCAT.STREAMS. This captures the PRJATHRD functional subcategories (E640) to a disc file.

o Make any necessary changes to PRJATHRD data definition, e.g. if changes in AID's files affect its contents.

o Make sure that all inversion is done offline in PRJATHRD. This makes loading of data much faster.

o In DATADICT, ERASE DB=PRJATHRD. The Btrees can be erased too, but this is not necessary because they will be erased in the reinversion done later.

o Stream the job LOADPA3.STREAMS. This loads PABATCH1 data onto PRJATH3. Verify data was loaded properly.

o Make same changes to PRJATH2 that were made to PRJATHRD above.

o Perform any additional changes necessary on PRJATH2 (these would most likely deal with special fast access searching characteristics for use with the PROJECTS database).

o Re-invert PRJATHRD by streaming the job INVPA.INVERT.

o Add the old functional subcategory codes by streaming the job PRJJOB.STREAMS

o Purge the file PABATCH1.

1.2.5.3.3.9 Step 9: Recreate PRJATHK2

PRJATHK2 is a KSAM database used in DOC2DS. Because the tags are subfield tags, data cannot be loaded through this definition directly. PRJATHK is a KSAM definition which points to the same KSAM file as PRJATHK2 only PRJATHK has tags which match PRJATHRD. PRJATHK, therefore, is used for loading data only. (See database dictionary for more details.)

o Make sure no one is using PRJATHK2 or DOC2DS (or and of the bureau entry programs).

o Stream the job LOADPAK.STREAMS. This loads the data in file PABATCH2 onto PRJATHK.

o Verify that PRJATHK was loaded properly. Check operation of PRJATHK2 by using DOC2DS of which it is a part.

o Purge PABATCH2 file.

1.2.5.3.3.10 Step 10: Update PROJRD with the new projects

This is accomplished by streaming a single job, :NEWPRJ.STREAMS. This job adds to PROJRD very short records for each project on PRJATHRD which is not on PROJRD. In addition, this job deletes from PROJRD those records added in the past which are no longer on PRJATHRD and which have not been processed yet.

Jobstep 1: Find the new projects on PRJATHRD

An ABSENT search is made of the element P010. The hit-file is saved as NEWPRJ. (In 1986, the hit-file had 326 records.)

Jobstep 2: Create a batchin file for PROJRD

In the MINISIS Print Processor, PRJATHRD is entered as the DB name and PRJB1.PF is the print format file. HITFILE=NEWPRJ is response to the SELECT RECORDS prompt. At the end of program, NEWPRJ AND NEWPRJDD files are purged.

Jobstep 3: Load new projects into PROJRD

In the MINISIS Batchin Processor, PROJRD is entered as the DB name. A carriage return is keyed in response to three of the seven prompts which follow. The four remaining are,

DISP=0 and LENGTH=80 and STRIP=YES and LIST=NO.

Jobstep 4: Find 2 sets of records on PROJRD using PROJ1DS.

(1) Those projects that no loger exist and have never been processed, which may be deleted.
(2) Those projects which are not deleted even though they do not appear in AID/IRM data. They have data in PTITLE, indicating they have been processed some.

In MINISIS Query, REFLECT is set to OFF and a hitfile is created, made up of an ANDing of records with E000 ABSENT and with PTITLE ABSENT. Those with PTITLE absent are saved and later deleted. The hitfile is later printed.

Jobstep 5: Delete the old "stub" records from PROJRD.

In MINISIS Delete/Release, PROJRD is entered as the DB name. The function is DEL and the Hitfile is DELHIT. At the end of the program, the DELHIT and DELHITDD files are purged.

Jobstep 6: Print all remaining records on PROJRD with no match on PRJATHRD ('suspect' records).

In MINISIS Index processor, PROJRD is entered as the DB name. The hitfile is VERI (to indicate purpose of verification) and the output is named VERO.

At the end of the jobstep, the two files (VERI and VERIDD) are purged.

As a final jobstep, records on VERO are printed from PROJECTS when they have no match on PRJATHRD; that is, those records which were not deleted in the above step. This listing is reviewed for possible invalid project numbers or project numbers which have been changed by AID.

At the end of the program, files (VERO and VERODD) are purged.

1.2.5.3.3.11 Step 11: Reinvert the fields in PRJATH2.

Stream the job INVPA2.INVERT.

1.2.5.3.3.12 Step 12: Add the functional subcategories.

Stream the job SUBCAT2.STREAMS.

1.2.6 Specifications for the abstract loading program

GENERAL

The abstract loading programs handle the loading of three types of abstracts: docoment abstracts, project/document abstracts and project-only abstracts. The three types of abstract transaction files are described below. The transaction files contain new abstracts along with other data elements to be loaded onto other databases. The program should also be extended to handle updates. In general, the program will perform the following functions:

* validate the transaction file for correct format

* validate the transaction against the database, i.e. validate DOCID and project numbers, check if new or update, check for duplication, etc.

* update the database(s).

Validating the transaction file

Edit checks are described under each transaction type. Field lengths are defined in the DDT. Is it possible to let MINISIS check field lengths so we don't have to modify the program if, for example, we want to expand or shrink certain fields?

The program will validate mnemonics, delimited by a "!" (in column one) and a space. Additional spaces preceeding the first non-blank character should be ignored by the program. The program should also ignore spaces preceeding the first line of a paragraph. (Abstractors tend to enter these as a form of indentation - although they shouldn't).

Descriptors are inverted offline to a thesaurus KSAM file. When the inversion job is run (every two weeks), it produces a list of invalid descriptors.

Validating against the database

Certain key checks will have to be performed to ensure database integrity. These are described in detail under each transaction type. These checks will (1) validate DOCID and project numbers, (2) determine status of transaction (new record or update), (3) check for duplication, and (4) guard against the user attempting to change an abstract of one type to an abstract of another type without first deleting the former abstract.

Updating the database

Any transaction may either trigger creation of a new record or modify an existing matching record. If the transaction is modifying an existing record, the fields occuring in the transaction file replace the fields in the record (if they occur), or are added to the record (if they do not occur). If it is a repeating field, all occurances of the field should be replaced with what is in the transaction file. If the transaction file contains a field mnemonic with no data following on the same line, this should be interpreted as a field delete. Otherwise, all other fields in the database record are left as is.

For the duplication/validation features to work, the program should completely process each transaction file in turn rather than, for instance, validating all files first, then updating the database with the validated files.

Description of DOCABST

All abstracts are loaded onto the same master file (DABSTMF/XR) although not necessarily through the same database name. The RD database, DOCABST, contains 3 fields (see attached DDT):

Source document ID no.	SDOCID	P440
Design abstract project no.	PROJ9	P450
Abstract	ABSTR	C310
First paragraph flag	PARA1	C311
Abstract paragraph	ABST	C312

The following conditions should prevail for the 3 types of abstract records -

Data present in field -

Abstract type	P440/SDOCID	P450/PROJ9	C311/ABST
1 Document	Y	N	Y
2 Project/document	Y	Y	Y
3 Project only	N	Y	Y

For document abstracts, the ISN and SDOCID match the ISN and DOCID on DOCRD. The PROJ9 field is blank.

For project/document abstracts, the ISN and SDOCID match the ISN and DOCID on DOCRD; the record on PROJRD with corresponding PROJ9 should contain the abstract ISN in ABISN field.

For project-only abstracts, the SDOCID field is blank; the abstract ISN should not be used on DOCRD; the record on PROJRD with corresponding PROJ9 should contain the abstract ISN in ABISN field.

SDOCID's should be unique on DOCABST (no two records should have the same SDOCID). PROJ9's should also be unique on DOCABST. The program should insure this.

Description of the three types of transactions

1. Document abstracts

   Abstracts are entered onto DOCABST database with the same ISN as the document on DOCRD. Existing DOCABST records are replaced. Descriptors and identifiers are added to existing records on DOCRD. Update both components simultaneously using the DS DOCABDS. DOCABDS structure:

```
DOCRD
   ISN <+ ISN  DOCABST
```

2. Project/Document abstracts

These are abstracts of design documents entered onto DOCABST in the same manner as above. These abstracts, however, also have a project number which links it to the project database. A new record is created or an existing record modified on PROJRD and LOGFRAME with the data supplied along with the abstract. The same descriptors and identifiers are entered both on PROJRD and DOCRD.

Use DOCABDS to update DOCABST and DOCRD. Use the DS PRJLF to update PROJRD and LOGFRAME. DS structure:

```
PROJRD
    ISN < + ISN LOGFRAME
```

3. Project-only abstracts

These abstracts link with the project database but not with the document database (the DOCABST ISN is never used on DOCRD). This situation arises when a single document generates more than one project abstract. Abstracts from Congressional Presentations are of this type. "Basket" projects are also of this type. These are entered through PROJABST, a PS of DOCABST with a shared ISN numbering sequence with DOCRD.

PRJLF records are created or modified as above, but no DOCRD record is modified at all.

The presence of certain keys in the header of the transaction file serve to differentiate the three types. Document abstracts contain a !DOCID key. Project/document abstracts contain both a !DOCID as well as a !PROJ9 key. Project-only abstracts contain only a !PROJ9 key. See format specs below.

Specifications for Document Abstracts Input

All files in FINLDOC group are to be processed as document abstracts.

Format

Figure 1 is a sample document abstract. The format is the same used by the current abstract loading program.

The format for the heading is:

Line 1:	the draft status
Line 2:	abstractors initials

(Additional notes or comments may be entered at this point; the program ignores all lines up to the first "!" below.)

Line 3: "!ISN " plus the ISN of the document being abstracted

Line 4: "!DOCID " plus the DOCID of the document being abstracted

A blank line separates the heading from the body of the abstract. Each paragraph is separated with a blank line.

At the end of the abstract, the literals "!DESCR " and "!IDENT " flag the beginning of the descriptor and identifier strings.

Figure 1: Sample Document Type

Draft 1
MT
!ISN 1776
!DOCID PD-AAG-874

Evaluates project to provide the Government of the Republic of Cameroon (GORC) with a nationally replicable community development program. Evaluation covers the period 3/78-10/80 and is based on site visits, project document review, and interviews with GORC, USAID/C and project officials.

The project will not achieve its goals by the 6/81 completion date, nor does the GORC have the resources to replicate the contractor's Community Development Foundation (CDF) basic strategy or village cluster approach. The project has been adversely affected by the poor design of the original grant; the GORC's lack of involvement in project management; and the inability of CDF to sustain local initiative and support for activities too expensive and complex for villagers to carry out unaided.

Project output levels varied. Committees were formed in all nine project villages with subcommittees in water management, agriculture, and health/nutrition; village-level training was provided; and a development plan prepared. In the water resources component, 8 of 10 planned wells were dug (but are not yet functioning), 8 well diggers were trained, and 2 cisterns were constructed, but faulty equipment prevented the digging of artificial watering ponds. Under the agriculture component, all 50 shade trees were planted in each village, but no blacksmith training was provided and the reforestation/soil enrichment project was not initiated because additional trees were unavailable. Primary schools in Saoringwa and Sirlawe villages were constructed as planned and construction of two classrooms per village was begun, but the

planned survey of non-formal education has not been conducted. Finally, in the health and nutrition program, 2 CDF field coordinators, 8 village health agents, and 6 of 10 planned birth attendants were trained, and a maternal/child health program was begun. Supplies and personnel are ready to operate health posts pending the approval of the Ministry of Public Health.

It is recommended that A.I.D.: terminate the project as planned; scrutinize more closely the technical and administrative feasibility of PVO projects; and stress to PVO's the importance of including beneficiaries in the project design and review process.

!DESCR /Community development/ /Cameroon/ - /Local participation/ /Private voluntary organizations/

!IDENT /Onsite evaluation/ - /Health posts/

Validating the transaction file

Validate the mnemonics following "!". The only valid literals are:

!ISN	Mandatory
!DOCID	Mandatory
!DESCR	Mandatory
!IDENT	Optional

Any other character string following the "!" is an error and the abstract should be rejected from further processing.

The descriptor string must begin with a "/".

The identifier string may begin with either "/" or " - /" (space, dash, space, slash). The later character string begins the field when proposed descriptors are the only thing being entered in identifiers - the initial space is important in such cases. If the abstractor forgets the initial space and enters instead
"!IDENT - /term one/...", supply the initial space.

Validating against the database

Validate the DOCID and ISN - they should match those on DOCRD. Updating the database

If the transaction meets the above tests, then add or replace the following fields on DOCABDS:

Add !DOCID to P440/SDOCID.
Add !DESCR to C210/DESCR.
Add !IDENT to C220/IDENT.
Add current date to D680/DATEAB.
Add abstract paragraphs to C312/ABST.
Along with the first occurance of C312, the "first paragraph flag" of "Y" is added to C311/PARA1.

SPECIFICATIONS FOR PROJECT/DOCUMENT ABSTRACTS

Input

FINLPROJ contains the abstracts to be processed. Some of the abstracts will be of the third type, i.e. project-only abstracts. If the header contains both a !DOCID and a !PROJ9, then the abstract is a project/document abstract.

Format

Figure 2 is a sample project/document abstract. The header is the same as the document abstracts except for some additional mnemonics.

Figure 2

Draft 1
BRP
!ISN 2215
!DOCID PD-AAJ-325
!PROJ9 4920334
!PTITLE Smaller Farmer Systems II
!ORGLOP 220

Project to institutionalize the Farm Systems Development Corporation's (FSDC) system of farmer-managed Irrigator Service Associations (ISA) and ISA provincial federations (KAISA) in the Philippines. Project consists mainly of constructing and expanding irrigation facilities and ISA/KAISA institutional development. FSDC will implement the project.

Thirty-four new gravity-fed irrigation systems will be built and 60 others rehabilitated in the lowland areas, and the ISA network will be extended and adapted to six upland pilot areas. Pilot area activities will include promoting income-generating activities on non-arable land and assessing the impact of upland erosion on lowland irrigation.

FSDC will provide organizational training to 220 new ISA's and ongoing training to 1,800 existing ISA's in areas such as rice cultivation, water management, and farm planning. To expand the system of KAISA's, now totalling 64, FSDC will provide technical assistance and procedures manuals, along with training in program and enterprise management for select KAISA board members and enterprise managers. FSDC will also cover, on a decreasing basis, initial KAISA development costs until KAISA's become self-sufficient. To the latter end, FSDC will lend KAISA's funds to develop income-generating enterprises providing low-cost farm-related services capable of reaching previously unserved areas. Six pilot enterprises relating to rice production will be stressed at first. If these are unsuccessful, project funds will be reallocated after discussions with FSDC (the same holds true for the pilot upland areas

component).

Four long-term experts, two each in rural enterprises and farming systems, will assist FSDC and KAISA's in implementing KAISA and upland areas activities. FSDC will also receive a small amount of grant funds to develop innvovative projects such as low-cost irrigation systems, fish and rice culture farming, and alternative energy sources. Finally, select FSDC and KAISA personnel will receive short-term participant training in such areas as irrigation and financial management, and a few FSDC staff members will receive U.S. and third-country degree training in public policy, agro-industry, and rural regional development.

!DESCR /Irrig canals/ /Instit building/ /Rural business/ /Philippines/ - /Coop mgmt trng/ /Business mgmt/ /Mgmt training/ /Farmer training/ /Partic training/ /Indigenous trng/ /Irrig research/

!IDENT /World Bank/ - /Irrigation association/

!GOAL Farmers realize optimum income potential from lands cultivated.

!PURPOSE To create an efficient, institutionalized, farmer-managed (KAISA/ISA--provincial federations of Irrigator Service Associations) system that provides small farmers with needed physical inputs, technology, and services for irrigation, production, processing, and marketing.

!OUTPUTS 1. New irrigation systems completed. 2. Irrigation systems improved. 3. ISA's established. 4. KAISA's managing ISA/Farmer training and technology extension services. 5. KAISA's developing income-generating activities. 6. Initial income-generating activities evaluated. 7. Initial upland farmer organizations created and operating. 8. Feasibility of this approach to improving upland farm production/income evaluated. 9. Variety of KAISA/FSDC (Farm Systems Development Corporation) staff trained. 10. Research projects completed.

!INPUTS 1. U.S. loan funds. 2. U.S. grant funds. 3. Government of the Philippines counterpart funds. 4. Technical assistance. 5. Participant training. 6. Commodities. 7. FSDC/KAISA staff resources. 8. Farmer-member support and investment.

!RELAID 4920320
!RELAID 4920156

Validating the transaction file

Validate mnemonics following "!". The only valid literals are:

!ISN	Mandatory

!DOCID	Mandatory
!PROJ9	Mandatory
!PTITLE	Mandatory
!SPTITLE	Optional
!ORGLOP	Optional
!NOTE	Optional
!DESCR	Mandatory
!IDENT	Optional
!GOAL	Optional
!PURPOSE	Optional
!OUTPUTS	Optional
!INPUTS	Optional
!RELAID	Optional

Any other character string following the "!" is an error and the abstract should be rejected from further processing.

!ORGLOP and !SPTITLE should be mutually exclusive; i.e., subproject-level records should not have an !ORGLOP.

!ORGLOP should be a positive integer.

The length of !PROJ9 key varies from 7 to 9 characters. The 8th and 9th characters are an optional subproject number; they should never be "00".

The descriptor string must begin with a "/".

The identifier string may begin with either "/" or " - /" (space, dash, space, slash). The later character string begins the field when proposed descriptors are the only thing being entered in identifiers - the initial space is important in such cases. If the abstractor forgets the initial space and enters instead "!IDENT - /term one/...", supply the initial space.

Validating against the database

On DOCABDS:

Read a record by ISN supplied in transaction file, make sure !DOCID matches A000/DOCID.

Verify that !PROJ9 is referenced in field D100/PROJ9.

Check for duplicate project abstracts. Do this by searching P450/PROJ9 using !PROJ9 data as the search key. If zero postings are retrieved, or if one posting is retrieved and it matches the ISN specified in the transaction file, then the abstract is not a duplicate. If the record retrieved

has a different ISN, then the abstract is a duplicate and should be rejected. The user will have to delete the duplicate and process the transaction again or take some other appropriate corrective action. This will occur, for instance, when a formerly project-only-type abstract is updated to become a project/document-type abstract.

One further test. If zero postings are retrieved in the above search, check to see if there is already an abstract with the ISN specified in the transaction file. If there is, reject the transaction. This guards against the abstractor creating a five "basket" abstracts from the same document and attempting to treat them all as project/document abstracts (only one of them can be a project/document abstract, the rest must be project-only abstracts). Corrective action: The user must either change the transaction file to a project-only-type abstract or delete the existing project/document abstract from the system, then reprocess the transaction.

Updating the database

If the transaction meets the above tests, then add or replace the following fields on DOCABDS:

Add !DOCID to P440/SDOCID.
Add !PROJ9 to P450/PROJ9.
Add !DESCR to C210/DESCR.
Add !IDENT to C220/IDENT.
Add current date to D680/DATEAB.
Add abstract paragraphs to C312/ABST.

Along with the first occurance of C312, the "first paragraph flag" of "Y" is added to C311/PARA1.

On PRJLF, search P000/PROJ9 using the !PROJ9 key. If a record is retrieved, modify it. If no record is retrieved, create a new record.

Add !ISN to P430/ABISN.
Add !PROJ9 to P000/PROJ9.
Add first 7 characters of !PROJ9 to P010/PROJ7.
Add 8th and 9th characters of !PROJ9 (if present) to P020/SUBPROJ.
Add first three characters of !PROJ9 to P030/GEOCD.
Add !PTITLE to P060/PTITLE
Add !SPTITLE to P080/SPTITL Add !ORGLOP to P230/ORGLOP
Add !NOTE to P330/NOTE
Add !DESCR to P400/DESCR
Add !IDENT to P410/IDENT
Add !GOAL to P520/GOAL
Add !PURPOSE to P540/PURP

Add !OUTPUTS to P560/OUTPUT
Add !INPUTS to P580/INPUT
Add !RELAID to P300/RELAID
Add current date to field P900/DATEAB and P940/DATEMO.
If P900/DATEAB already exists, add current date to P940/DATEMO only.
Verifying the updates using PRINT

As a final job step, print the records added or modified using DB=PROJECTS, PF=PROJ18PF. The user will examine the printout to ensure the record was properly added. If experience shows that a full verify is unnecessary, we can switch print formats to display only P000/PROJ9, P060/PTITLE, and E080/STITLE. The user should always compare the two titles to make sure the DISC-entered title (PTITLE) is similar to the project authority file title (STITLE). This is one way of validating the project number. Specifications for Project-Only

Abstracts

Input

Project-only abstracts are contained in the FINLCP group. Project-only abstracts contain only a !PROJ9 in their headers.
If a transaction file in this group references an !ISN or !DOCID, it should be rejected.

Format

Figure 3 is a sample project-only abstract.

Figure 3

Draft 1
BRP
!PROJ9 492033401
!PTITLE Smaller Farmer Systems II
!SPTITLE Institution Building
!ORGLOP 220

Project to institutionalize the Farm Systems Development Corporation's (FSDC) system of farmer-managed Irrigator Service Associations (ISA) and ISA provincial federations (KAISA) in the Philippines. Project consists mainly of constructing and expanding irrigation facilities and ISA/KAISA institutional development. FSDC will implement the project.

Thirty-four new gravity-fed irrigation systems will be built and 60 others rehabilitated in the lowland areas, and the ISA network will be extended and adapted to six upland pilot areas. Pilot area activities will include promoting income-generating activities on non-arable land and

assessing the impact of upland erosion on lowland irrigation.

FSDC will provide organizational training to 220 new ISA's and ongoing training to 1,800 existing ISA's in areas such as rice cultivation, water management, and farm planning. To expand the system of KAISA's, now totalling 64, FSDC will provide technical assistance and procedures manuals, along with training in program and enterprise management for select KAISA board members and enterprise managers. FSDC will also cover, on a decreasing basis, initial KAISA development costs until KAISA's become self-sufficient. To the latter end, FSDC will lend KAISA's funds to develop income-generating enterprises providing low-cost farm-related services capable of reaching previously unserved areas. Six pilot enterprises relating to rice production will be stressed at first. If these are unsuccessful, project funds will be reallocated after discussions with FSDC (the same holds true for the pilot upland areas component).

Four long-term experts, two each in rural enterprises and farming systems, will assist FSDC and KAISA's in implementing KAISA and upland areas activities. FSDC will also receive a small amount of grant funds to develop innvovative projects such as low-cost irrigation systems, fish and rice culture farming, and alternative energy sources. Finally, select FSDC and KAISA personnel will receive short-term participant training in such areas as irrigation and financial management, and a few FSDC staff members will receive U.S. and third-country degree training
in public policy, agro-industry, and rural regional development.

!DESCR /Irrig canals/ /Instit building/ /Rural business/ /Philippines/ - /Coop mgmt trng/ /Business mgmt/ /Mgmt training/ /Farmer training/ /Partic training/ /Indigenous trng/ /Irrig research/

!IDENT /World Bank/ - /Irrigation association/

!GOAL Farmers realize optimum income potential from lands cultivated.

!PURPOSE To create an efficient, institutionalized, farmer-managed (KAISA/ISA--provincial federations of Irrigator Service Associations) system that provides small farmers with needed physical inputs, technology, and services for irrigation, production, processing, and marketing.

!OUTPUTS 1. New irrigation systems completed. 2. Irrigation systems improved. 3. ISA's established. 4. KAISA's managing ISA/Farmer training and technology extension services. 5. KAISA's developing income-generating activities. 6. Initial income-generating activities evaluated. 7. Initial upland farmer organizations created and operating. 8. Feasibility of this approach to improving upland farm production/income evaluated. 9. Variety of KAISA/FSDC (Farm Systems Development Corporation) staff trained. 10. Research projects completed.

!INPUTS 1. U.S. loan funds. 2. U.S. grant funds. 3. Government of the Philippines

counterpart funds. 4. Technical assistance. 5. Participant training. 6. Commodities. 7. FSDC/KAISA staff resources. 8. Farmer-member support and investment.

!RELAID 4920320
!RELAID 4920156

Validating the transaction file

Same as for project/document abstracts except that !ISN and !DOCID mnemonics should not occur. If they do, reject the transaction.

Validating against the database

Use the PS PROJABST for duplicate checking. Search the P450/PROJ9 field using the !PROJ9 key. If no records are retrieved, add the record to PROJABST. If one record is retrieved, check to see if P440/SDOCID is present (which indicates that the existing abstract record is of the project/document type). If P440/SDOCID is absent, process the record as an update. If P440/SDOCID is present, reject the transaction with an error message something to effect of "Attempting to replace a project/document abstract with a project-only abstract. Transaction rejected." (This situation will arise if, for instance, the abstractor attempts to change an existing project/document abstract into a project-only abstract. The user should have deleted the original abstract first so that the replacement abstract will be treated as a new record with no link to the document database.)

Updating the database

No data is added to DOCRD.

Abstract should be loaded through PROJABST.

Do the same processing on PRJLF as with the project/document transactions, except:

> P440/SDOCID should be left blank.
> The program itself will have to capture the PROJABST ISN referenced above and put this ISN in PRJLF field P430/ABISN.

Verifying the updates using PRINT

Produce the same printout as with the project/document transactions.

1.2.7 Database Maintenance

The Database Maintenance of MINISIS is completed in the form of daily, weekly, bi-weekly monthly, quarterly, ad hoc stream jobs or system interactive procedures. Stream jobs, run after-hours, are responsible for "cleaning" index Btrees and Master Files to recover waste space and organize records for most efficient access. Many of these jobs are located in the Invert group, while others reside in the Streams group.

Daily - Most Btree files are updated automatically when data is entered. However, a job is run every day to update some PROJECTS and DOCUMENT indexes that are not updated automatically due to system limitations or entry speed.

Weekly - There are 4 stream jobs which are run each week, after hours. Three of these update bureau Btree files and one rebuilds the PRJDOC and PRJDOC2 links to incorporate the last week's data entry.

Bi-weekly - There are 2 stream jobs which are run bi-weekly to clean files for frequently updated databases.

Monthly - There are 26 stream jobs which are run each month to clean database files.

Quarterly - There are 11 stream jobs which are run 4 times a year to clean files for less frequently updated databases.

Ad Hoc - There are 14 stream jobs which are run on an "as needed" basis to clean files for databases that are updated in batch or are rarely updated. Other stream jobs/system interactive procedures are also submitted/administered on an "as needed" basis. One of the most important of these procedures is the addition/subtraction of newly hired/departed systems users. More critical activities include: the creation/alteration of databases/fields/print formats, and the re-allocation, through augmentation or reconstruction, of fragmented space in the Master, Xref, or Btree files.

1.3 MicroDIS

Last Revision: March 1994.

Overview of system

MicroDIS was created to provide mission information centers, A.I.D. contracts and contractors, host government ministries and developing country institutions with a simple, menu-driven information management tool. It provides basic cataloging (data entry, modification, search and retrieval), circulation, acquisitions tracking, reporting and utility mechanisms. In addition, it provides automatic logging of usage for predefined functions. MicroDIS was written for IBM and compatible PCs in the CLIPPER programming language utilizing DBASE III Plus data structures. There are currently two versions of the software package still active -- versions 2.2

and 3.0. Version 3.0 incorporates a number of minor changes to and improvements over version 2.2, most notably the addition of multi-user support.

Location of software and related files

The MicroDIS development system resides on the Novell LAN located in the DISC offices. A directory named MICRODIS has been created on the SYS volume and within this directory are several subdirectories which contain the various elements of the MicroDIS software. The subdirectory names are largely self explanatory.

Updating the system

The MicroDIS directory contains a subdirectory named "DEVELOP", which in turn has a subdirectory named "SOURCE". This directory contains all MicroDIS program source modules. Any programmatic changes to the MicroDIS system must be made by altering or supplementing the logic contained in these program modules. As these program modules contain characters which are not part of the normal keyboard layout -characters formed by entering the actual ASCII value (e.g., ASCII 130 for é (e with an accent) -- it is important that any changes made to these modules be made with a pure ASCII editor, such as KEDIT or the DOS Editor. This subdirectory also contains the compiled object modules for MicroDIS along with various DOS batch files which facilitate the compilation, testing and backup of the program modules. The following files are of particular importance:

"CLG.BAT" is used after updating a program module to [C]ompile the source code creating a new object module, [L]ink all object modules into an executable load module with the appropriate overlays and copy the resulting files into the RUNTIME subdirectory before calling the updated system into execution [G]o. There are also subsets of this batch file which perform each step individually (i.e., "CLIP.BAT" to compile, "LINK.BAT" to link, and "GO.BAT" to move the executable modules and begin execution).

"CYA.BAT" is a batch file which should be run whenever any of the source modules have been updated. This procedure copies all program and object modules into on-line archives for backup purposes. It also copies these archives onto diskette for offline backup. Currently two sets of diskettes are maintained for backup purposes. These two sets are located in a floppy disk box near the aforementioned PC. A copy of these disks is also kept on the HP-Vectra PC in Paul Howard's office next to the vault.

"MICRODIS.LNK" is a file which contains commands used by the CLIPPER linker (PLINK86) to define the structure of the executable load module and its overlay files.

The clipper software is located on the "C" drive of the HP-Vectra in the directory named "CLIP". The "C" drive must be positioned to this directory whenever updates are made to source modules.

Making a demonstration copy

In the MicroDIS directory is a subdirectory named "DISTRIB". This subdirectory contains the files necessary to make a set of MicroDIS version 2.2 demonstration disks.

Before attempting to make a demonstration copy be certain to have three (3) formatted 360KB 5 1/4" or two (2) formatted 720KB 3 1/2" diskettes available. Ensure that for each of the diskettes the entire diskette is available to hold data files (i.e. NO BAD SECTORS). After positioning the harddisk to the "DISTRIB" subdirectory, type the command "MAKEDEMO" or "MAKDEM35" depending on which size diskette you are using. This will call into execution a DOS batch file named "MAKEDEMO.BAT" or "MAKDEM35.BAT", which will tell the user when to insert diskettes into the "A" or "B" drive and then will copy the proper files onto the diskettes. After all the files have been copied, position the hard disk to the "TEST" subdirectory, place MicroDIS Disk 1 into the drive and type "A:INSTALL" for 5 1/4" disks or "B:INSTALL" for 3 1/2" disks. Procede to test the demo you just made. Send the disks with appropriate documentation to the requesting institution or individual. Finally, be sure to record the name and address information in the appropriate user file. (Refer to section 18.7)

Making an installation copy

In the MicroDIS directory is a subdirectory named "DISTRIB". This subdirectory contains the files necessary to make a set of MicroDIS version 2.2 installation disks.

Before attempting to make an installation copy be certain to have three (3) formatted 360KB 5 1/4" or two (2) 720KB 3 1/5" diskettes available. Ensure that the entire diskette is available to hold data files (i.e. NO BAD SECTORS). After positioning the harddisk to the "DISTRIB" subdirectory, type the command "MAKEINST XX" or "MAKINS35 XX". This will call into execution a DOS batch file named "MAKEINST.BAT" or "MAKINS35.BAT". The "XX" is a parameter indicating the default language for the installation. Replace "XX" with one of the following codes:

EN for English,
FR for French,
ES for Spanish, or
SP for Spanish.

The batch file will next execute a program which will prompt you for the new site code, site abbreviation and decoded site name. If you specify a previously assigned site code the program will ask you to verify your selection. This is done so that you may assign a batch of site codes using dBase III directly prior to making the installation copies. After the assignment of a site code is completed, the batch file will instruct the user to insert diskettes into the proper drive and it will copy the proper files onto the diskette. The finished diskettes, together with

documentation in the correct language, make up a complete copy of the package.

Please note that the above instructions will create diskettes for a new installation without information loaded into the data files. If the installation is to include preloaded data files, then it is likely that more than three diskettes will be required and that the batch procedures provided to facilitate installation will have to be modified.

After providing an installation copy to a requesting institution or individual, record name and address information in the appropriate user file. (Refer to section 18.7)

On the SYS volume is a subdirectory named \microdis\distrib\test. You should run the installation procedure and load MicroDIS into this directory to confirm that the disks just created are usable. If the installation fails, recreate the disks.

Downloading data from MINISIS

The procedure to download a subset of the citations contained on the MINISIS database to a MicroDIS database is relatively straight forward. Care must be taken to complete execution of each step before proceeding to the next. The complete process is as follows (Note: these instructions assume that the user logs onto the HP-3000 using a PC with a hard disk and that communications are handled using Hayes SmartCom software. Ensure that there is sufficient space on the hard disk to accept all of the records to be downloaded):

1. Log onto the HP-3000 and enter the MINISIS Query processor. Select the DOCRD database. Create and "SAVE" a hitfile containing the records to be downloaded and EXIT query. If the request for data is to be updated on a regular basis "KEEP" and "PERM" the the search strategy. Use the following naming convention for the hitfile: "MDxxxx". "MD" signifies MicroDIS and replace the "xxxx" with a descriptive abbreviation. For the search strategy, append "KP" to the above convention.

For example: A request for an initial load of MicroDIS for the REDSO in Nairobi is received with a standing request for updates every six months. Name the hitfile "MDRDSO" and the search strategy "MDRDSOKP".

2. Enter the MINISIS Print processor. Select the MICRODOC database and use the MICRODIS.PF print format. Direct the output to the terminal. When asked to identify the hitfile, specify the hitfile saved in step 1 (e.g. MDRDSO). Before starting the print, depress the <F4> key to direct that which is displayed on the screen to be captured in a disk file on the PC.

3. The Print processor will now display the hitfile records on the monitor with each field tagged for the MicroDIS RECEIVE utility. After all records have been downloaded, depress

function key 1 <F1> to complete the download by emptying the buffer. SmartCom will then ask you to provide a name for the file which was just downloaded. Any valid name and extension is acceptable, however, the above convention should be followed and the file named "MDRDSO.TXT". Be certain to include the "TXT" extention. After completing this task, END and EXIT from the Print processor and logoff the HP-3000.

4. Using an ASCII text editor such as KEDIT or the DOS Editor on the PC, remove extraneous records from the beginning and end of the downloaded file. It is VERY IMPORTANT that the first record of the file be a blank record. If it is not, insert a blank record. It is equally important that the last record of the downloaded file appear as "!DONE!". If the last record does not appear in this form, insert a record with the required literal. Begin in column 1 and do not include the quotes.

5. It is possible that the downloaded text file will be too large to easily edit. Or it may be larger than desirable for purposes of importing data into MicroDIS. In either of these cases a solution exists. There is an executable program module named "SPLIT.EXE". It is located in the \MICRODIS\EVAL subdirectory. When executed it will ask for the name of the file to evaluate. Specify the downloaded text file created in step 3 and modified in step 4. If the name of the text file does not include an extension, be certain to enter the period. If necessary, fully qualify the file name. This program will indicate how many text records (not citations) are on the file and ask you to specify approximately how many records you would like split-off into separate files. A value of 2000 to 2500 records will usually translate into from 100 to 150 citations. The program will create as many smaller text files as are required to accommodate all of the downloaded data. The files will be named "SPLIT.xxx" where "xxx" is replaced by a number indicating which file it is. For example:

SPLIT.1 followed by SPLIT.2 etc.

6. There is an executable program module named EVAL.EXE. It is located in the \MICRODIS\EVAL subdirectory. When executed it will ask for the name of the file to evaluate. Specify the downloaded text file created in step 3 and modified in step 4. If the name of the text file does not include an extension, be certain to enter the period. If necessary, fully qualify the file name. For example: C:\communic\scom\mdrdso.txt. This program will display summary statistics on the monitor which indicate potential problems for the MicroDIS RECEIVE utility. In addition, the program will create a log file named "EVAL.LOG" which will detail each potential problem. All problems must be resolved before attempting to run the RECEIVE processor in MicroDIS. Most of the problems result from the existence of more information than MicroDIS can accomodate, particularly in the TITLE fields. In these cases the information will have to be shortened. Refer to the MicroDIS manual for maximum field lengths. In the case of the TITLE fields, most can be corrected by abbreviations. Occasionally there are more than 20 keyterms downloaded. Those in excess of 20 will have to be deleted. Choose redundant and minor keyterms first. DO NOT delete project numbers unless absolutely necessary. Languages must appear without commas and spaces. For example: "ENFR" is acceptable, "EN,FR" and "EN FR" are not acceptable.

7. Resolve all problems identified by the EVAL program using an ASCII text editor and reexecute step 5. Repeat this cycle (steps 5 and 6) until all problems have been eliminated.

8. Run MicroDIS and execute the RECEIVE utility found on the CATALOG UTILITIES menu of the DOCUMENT CATALOG. When asked for the input file, specify the name of the downloaded text file as corrected. (If you are adding records to an existing MicroDIS database it would be prudent to make a backup copy of the database before executing this processor to safeguard against any unforeseen problems.)

Maintaining user files

Whenever any organization or individual is provided with either a demonstration or a copy of either the demonstration or installation versions of the MicroDIS software, the appropriate User File should be updated. These files are located in the \MICRODIS\USERS subdirectory. The files are in dBase III Plus format and are updated using dBase III+. There is one file for recipients of installation versions of MicroDIS (USERS.DBF); one file for outstanding requests for installation copies of MicroDIS (REQUESTS.DBF); and several files for those who have received either a demonstration or a demonstration copy of the software. These files are organized by fiscal year and are named FYnnDEMO.DBF where "nn" indicates the fiscal year in which the initial contact took place. All of the above files are indexed. In addition, there are several dBase print formats in this subdirectory which may be used to produce standard reports from the data contained in the files. Executing the batch file "USERS.BAT" will automatically point the PC to the correct directories and load the dBase software. Using the "dBase Assistant" feature facilitates the update of these files.

For users who receive downloaded data there is a file called DOWNLOAD.DBF which records the name of the requestor, the "KEEP" file name, date downloaded, etc. These "KEEP" files should be "PERMED" (see 18.5) and can be retrieved by using the following command:

"listf MD@.permfile"

Paper files are maintained in the office described in section 18.2. The files are organized by continent and then by country. Copies of the signed agreements are kept in each institutions file and in a separate file for agreements.

Manuals and demonstration materials

MicroDIS user documentation consists of a User's Manual and a Demonstration Package. The latter contains information on MicroDIS capabilities, hardware requirements, installation and getting started procedures (from the User's Manual) and implementation guidelines. All documentation is maintained in English, French and Spanish. The originals are located in the

MicroDIS information desk.

1.4 CD-DIS

A.I.D.'s Center for Development Information and Evaluation (CDIE) distributes CD-DIS, a CD-ROM disc containing the complete A.I.D. Document and Project Databases, and the full text of selected A.I.D. reports and publications, as well as the Agency's Congressional Presentation and more than 150 project evaluations. The databases identify over 8,000 projects initiated since 1974 and 70,000 associated project and technical reports. The disc also includes the Agency's electronic telephone directory.

Requirements

In order to effectively use CD-DIS, all that is required is an IBM-compatible PC with a minimum of 640K Random Access Memory (RAM), and a CD-ROM readers with Microsoft Extensions to DOS version 2.0 or later.

1.4.1 Production Scheme

CD-DIS is updated and issued four times each year. Each release will include the entire, updated A.I.D. Project and Document databases. The additional space on each disc will be used to disseminate other A.I.D.-supported development information resources of wide interest, including databases, catalogs, and the full text of selected A.I.D. documents. Most of the A.I.D. documents cited on the disc may be ordered from CDIE in either paper or microfiche format.

CD-DIS No. 8 Checklist (CDSTATUS.doc)

Please send any additions or corrections to Jim Harold

REPORTS & PROJECTS (Jim)

All INSTDS database records have SNAME (short name) entries?
New or changed records downloaded, loaded and indexed in ROMWARE, and indexes (noted below) checked?

All DOCIDs and DESCR loaded into ROMWARE for checking?
(using DOCDESCR.pf and PRJDESCR.pf)

D901CHEK.streams run and checked against full text evals list?
D901CHEK.streams FTEALPHA printout given to Carolyn?
D901CHEK.streams FTEYEAR printout given to Carolyn?

CDDATACK.streams run and output checked?
Output from jobs submitted by CDDATACK checked?
SEEREF.streams
DOCABREV.streams
SNAMECHK.streams
DRAFTCHK.streams
B620CHEK.streams
FIELDCHK.streams
AUTHSPAC.streams

CDHITS.streams run?
CDQUERY.streams run?
CDSORT.streams run?

REPORTS (Jim)

ADATA field stating "** NEW TO THIS ISSUE OF CD-DIS **" added to DOCRD records?
CDPRINTD.streams run?
CDFMTDOC.streams run? (Adds spaces and CRs to each line, flags and removes control characters, while on HP)
copied to tape? (using CDCOPY.streams)
copied to the Vectra drive D:\ROMWARE\NO8DATA (publisher)? (using "ANSIT2D")
COMPRESS.exe run?
CDFRMAT5.exe run?
DISLOAD run?
Index displays for institution, personal author, DOCID, project number, year checked?
ADATA field stating "** NEW TO THIS ISSUE OF CD-DIS **" deleted from DOCRD records?

PROJECTS (Jim)

CDPRINTP.streams run?
CDFMTPRJ.streams run? (Adds spaces and CRs to each line, flags and removes control characters, while on HP) copied to tape?
(using CDCOPY.streams) copied to the Vectra drive D:\ROMWARE\NO8DATA (publisher)? (using "ANSIT2D")
COMPRESS.exe run?
CDFRMAT5.exe run?
DISLOAD run?
Index displays for project number, geographic code, beginning FY, ending FY checked?

EVALUATIONS IN FULL TEXT (Chris)

qty = 4 new

D901CHEK.streams run and checked against full text evals list?
Latest versions in C:\ROMWARE\EVALS\OK-DISK5?
EVALLIST (text document) in G:\GLOBAL\EVALS being kept up-to-date with status and OK-DISK number?
EVALLOAD run?
Index displays for list of titles, subject sector checked?
TOC evaluation sector list checked: all sectors accessible?
sections at correct number level?
Added WP copies (when available) to d:\romware\setup\evalwp directory?

CP IN FULL TEXT (Chris)

OK -- no change from no. 3 for FY93
FY94 loaded and checked?

USAIDs (Paul)

OK -- no change from no. 1
Updates from USAID/Colombo loaded and checked?

TELEPHONE DIRECTORY (Jim)

latest files copied to D:\ROWMARE\SETUP\AIDWDIR? (from network G:\AIDWDIR)

HELP MESSAGES (Carolyn)

any changes from previous issue?
new or changed files copied to D:\ROMWARE\SETUP?

CLIPPER FRONT END (Lynne)

any changes from previous issue?
new version copied to D:\ROMWARE\SETUP?
file name changed to correct format (FD_CDDIS.exe) in D:\ROMWARE\SETUP?

DOS FRONT END (Paul)

any changes from previous issue?

DOS FRONT END HELP (Carolyn)

any changes from previous issue?
new versions copied to D:\ROMWARE\SETUP?
new file created incorporating new messages which will go into online "welcome" file?

DISC GRAPHICS (Roger)

what part of earth do we want to show?
correct screen specified?
file ready for service bureau?
ready for Nimbus?

WELCOME TO CD-DIS (Carolyn/Roger/Jim)

box with re-install notice needed?
what are latest database record counts?
what are full text evaluations added (title, DOCID, year)?
any disc changes noted?
new file created incorporating new messages which will go into online "welcome" file?

MANUAL UPDATES (Carolyn/Roger)

any required?
copy submitted to Roger?
received printed copy from Roger?

MAILERS & LABELS (Jim)

CD-DIS return address labels printed?
Subscriber labels sorted and printed?
Labels attached to mailers and sorted by class of mail?

SIMULATION MODE TEST (Paul/Jim)

Install works ok?
Search works ok?
Print works ok?

MAKE SURE ALL WORK PROPERLY

FILES COPIED TO ISO PARTITION? (Paul/Jim)

FINAL ISO performed?
Final access check in simulation done?
MASTERing done? (user "MASTERHS 0: n /r:no8.log")

1.4.2 Subscription Data

Single subscriptions to CD-DIS are available free-of-charge to A.I.D. offices and missions, and to qualifying host country institutions in A.I.D.-supported countries. Other organizations, such as contractors, universities, and Private Voluntary Organizations, will be charged for the disc at the rate of $55.00 per disc, or $130.00 for a subscription to four consecutively issued discs. Donor agencies and U.S. government agencies may receive the disc on an information-exchange relationship.

1.5 Local Area Network (LAN)

LTS maintains a Novell NetWare 3.11 LAN in the DISC offices. This is a 100-user license LAN and directly or indirectly supports approximately 50 individuals. The file server is a 486DX2/66mHz computer with 32MB RAM and 2GB of on-line storage. System backups are provided by an Intel Storage Express Archive unit. The LAN supports two networking topologies and workstations are attached either on the ArcNet or EtherNet segment. Workstations are typically 386 class PCs with 4MB RAM, although the LAN does support XTs as well as 286 and 486 class PCs.

The LAN provides access to standard productivity software including WordPerfect, Lotus 1-2-3, dBASE IV, DaVinci eMail, CaLANdar, MicroSoft Word, MicroSoft Excel, and Quattro. Users have a choice of a Windows (3.1) or DOS (5.0, 6.0) interface. Other software available include presentation and graphics packages, programming languages, project management software and a variety of utilities.

The LAN has become an integral part of the work environment of the DISC. As such, high priority is placed on both its availability and useability. To this end, duty assignments have been delegated to appropriate staff in order to minimize the reliance upon a single individual for all LAN related functions.

1.6 Imaging

1.6.1 Software

1.6.1.1 LaserFiche Executive for Windows version 1.0.62 is a document imaging system designed to function as both a network client to an NLM (Novell NetWare) server or as a stand-alone workstation where it can create and manage multiple local image databases. It has the ability to

recognize image text via a Recognita OCR engine and store both image and text linked automatically by the program. This text can then be exported for inclusion in word processing documents or used by the LaserFiche search engine to retrieve the document.

1.6.1.2 Caere OmniPage Professional 2.0 is a Windows application which provides text scanning, image scanning and text recognition. It will recognize virtually any scanned page, separate text from graphics, and convert almost any font to ASCII text or any popular word processor format.

1.6.1.3 FilePlus 2.0 is a document imaging system similar to LaserFiche. Its advantages include increased ease and speed of handling for documents with double-sided pages and a multiple image TIFF file format that allows for the encoding of database information within the image file itself.

1.6.1.4 Hewlett Packard Scanning Gallery Plus 5.0 is a Windows scanner control software package which provides image editing and the ability to scan photographs in sixteen levels of gray.

1.6.1.5 Hijaak Pro 2.0 for Windows is a full-featured image editing and conversion program. It can be used to view, edit and process images, convert a file from one format to another, capture a screen, print an image, and to systematically browse through a collection of image files.

1.6.1.6 In addition to the software previously mentioned, the DISC has a collection of other software such as Corel Draw 3.0, Corel Photo Paint 3.0a, ZSoft's PC Paintbrush IV, and Adobe Photoshop 2.0 which are available for image editing or special situation image processing on an as needed basis.

1.6.2 Development: In addition to experience with commercial off the shelf applications, the DISC has the capability to create original applications through software development. The DISC is currently using Borland C++ and the AccuSoft Image Format Library. The ability to create new applications is an essential skill in a developing technology like imaging.

1.6.2.1 Borland C++ 3.1 is a professional optimizing compiler for C++ and C language software development providing powerful, fast and efficient compilation of practically any application, including Microsoft Windows applications.

1.6.2.2 AccuSoft Image Format Library is a collection of C language DOS and Windows functions that can be called to allow C/C++ programs to access images. The DISC has used this library to image enable its CD-ROM published database products, as well as to build new tools to make document image processing more efficient.

1.6.2.3 Genus PCX Toolkit 5.0 is an imaging library the DISC has used to image-enable applications. The software can be used with applications written in C, Pascal and Clipper.

1.6.2.4 Nantucket Clipper 5.2 is a dBASE plus enhancements language compiler used to create database oriented applications. The DISC has been using Clipper for the past eight years in various

projects including the construction of a front end for the ROMWARE database it publishes on CD-ROM.

1.6.3 Hardware: The DISC has state-of-the-art hardware to match the capabilities of its software. A top-of-the-line Fujitsu Scanner and companion high speed document image processing controller from Kofax Image Products are two examples.

1.6.3.1 Fujitsu M3097E is Fujitsu's fastest document image scanner and is designed for heavy-duty scanning applications. It can easily handle throughputs of up to 2,000 pages per day and can scan documents ranging from A6 up to 11.7" X 17". Using the automatic document feeder, the M3097E is capable of scanning letter-size documents at rates of up to 39 pages per minute, and can accept stacks of as many as 100 documents at a time.

1.6.3.2 Kofax KF-9250 High Performance Document Processor is a scanner and printer controller and imaging processor designed for performance-critical applications. The KF-9250 provides onboard imaging functions such as scanner control, printer control, compression and decompression, scaling and rotation for display. The KF-9250 Document Processor supports a wide variety of peripherals and may be used in conjunction with duplex scanning applications. The DISC's board has been upgraded to 4.5 MB of onboard memory to allow it to effectively process the larger document page sizes handled by the Fujitsu M3097E.

1.6.3.3 Hewlett Packard ScanJet provides an alternate input point for low-volume scanning and for special situations such as gray scale images, scanning of OCR-only text documents, and selective re-scanning of images allowing heavy-duty main stream production scanning to proceed uninterrupted.

1.6.4 Systems Integration: The DISC takes a total systems approach to image processing to ensure that software and hardware work together effectively to satisfy client needs. Hardware and software installation, maintenance, trouble shooting, operation and management are all accomplished using extant resources.

1.6.5 Complementary Expertise: In addition to document imaging, the DISC has a broad base of professional knowledge in areas such as records management, cataloging, and database design. The DISC is an experienced CD-ROM publisher with the ability to master CD's on site utilizing the new CD recordable or "one off" recorders.

1.6.5.1 Nimbus ROMWARE 3.0 is a database management system capable of handling the large amounts of data typically stored on CD-ROM and is equipped to handle variable length text fields. LTS has comprehensive expertise in designing, building, and publishing large databases in ROMWARE.

1.6.5.2 CD Publisher from Meridian Data is a combination of hardware and software providing for in-house CD-ROM development, simulation and premastering. The system provides the large

amounts of mass storage required for CD-ROM premastering and CD Publishing Software 5.0 software to monitor the process.

1.6.5.3 Personal SCRIBE 1.1, also from Meridian Data, is a system for transferring DOS directories and files to CD-ROM format. It generates CD-ROM volume *images* in ISO 9660 format. It also writes images to a write-once (also called one-off) CD-ROM disc, a DOS file, or cartridge tape. The system includes the Kodak PCD Writer 200 which can record information in all standard CD formats. This technology is designed for low-volume (up to 100 disc) in-house production.

1.6.6 Documentation and Training: The DISC can provide documentation of project activities utilizing a desk top publishing system on Macintosh computers. LTS graphic artists are expert at providing visually pleasing copy utilizing customer format requirements. This documentation coupled with LTS-designed training programs ensures maximum project success and maximum benefit in the client organization.

APPENDIX OM01-1

Inventory of HP Equipment in Use

ITEM NAME	MAKE	MODEL	SERIAL #	AID TAG #
HP Console	HP	HP 700/92	3146A00002	900
CPU	HP	HP 3000/947	3139A13305	899
Disc Box	HP			50
EAGLE DISC	HP	HP 7937H	2925A48985	1
EAGLE DISC	HP	HP 7937H	2925A48986	2
GEN I/O CH-RAM	HP	HP 30079A		
GEN I/O CH-RAM	HP	HP 30079A		
GEN I/O CH-RAM	HP	HP 30079A		
Keyboard	HP	HP C1400A	3141S10683	1073
Keyboard	HP		NONE	55
Keyboard	HP	HP 2626W	NONE	66
Keyboard	HP	HP 2628A	NONE	142
Keyboard	HP	HP 2392A	3027S50226	241
Keyboard	HP	HP 2622A	NONE	061
Keyboard	HP	HP 2622A	NONE	95

Keyboard	HP		2641S10089	231
Keyboard	HP	C1400A	3141S10064	917
Keyboard	HP	C1400A	3132S10360	919
Modem	HP	HP 3451	250590	63
Modem	HP	HP VA3451	250589	64
Modem, Chassis	HP	HP VA1680	VA3467PX3	151
Modem, Chassis	HP	HP VA1616	VA3467PMX3	152
Modem	RV	HP 212LC	466189	171
Modem	RV	VA3467PX		151
Modem	RV	VA3467PX		151
Modem	RV	VA3467PX		151
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152

Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem	INTEL	PCEM72144		152
Modem(HP Support)	HP SUP	50759A	(HP OWNED)	
Modem Chassis	HP		NONE	287
PRED SUPP	HP	HP 05093A		
Printer, Laser	HP	HP 2686A	2535J06857	263
Printer, Line	HP	HP 2235C/Rugd Wrtr	2735A00873	9
Printer, LaserJet 2000	HP	HP 2684D	2913J03668	6
Printer, Line	HP	HP 2934A	2422A05162	165
Terminal	HP	HP 2622W	2126W05551	53
Terminal	HP	HP 2626W	2152A04854	65
Terminal	HP	HP 2622A	2245W30062	94
Terminal	HP	HP 700/92	3152A80598	1072
Terminal	HP	HP 2392A	2505A32465	180
Terminal	HP	HP 150	2641A44600	231
Terminal	HP	HP 700/92	3152A80596	918

APPENDIX OM01-2

List of COBOL Programs

File names for the source code and corresponding program file are given below. Source code files are all in the COBOL group of the MIN account. Unless otherwise indicated, program files are in the MIN account in the group indicated. Files are grouped according to the major use categories.

A. Bureau Programs.

Each bureau system has seven programs used to process data into the bureau databases. The menu program creates a menu from which the user can select the other programs. The 1E program is for initial record entry. The 1M program is for modifying records. The 02 and 03 programs create a file of fiche header data and add the date filmed to the database; the 02 program prompts the user for the record selection criteria and the 03 program does the processing as a batch process. The 04 and 05 programs add the date returned to the database and purge the header data file; the 04 program prompts for the record selection criteria and the 05 program does the processing as a batch process. Some bureaus also have a 10 and 11 program; these were for creating listings of selected fiche to be sent to various offices; they are not now being used. Numbers after the V are version numbers for the programs.

Asia/Near East Bureau

ASIAMENU	ASIAMENU.ASIAMENU
AS01EV08	ENTRY.ASIAMENU
AS01MV06	MODIFY.ASIAMENU
ASI02V05	FILMER.ASIAMENU
ASI03V11	ASI03.ASIALIB
ASI04V06	RETURN.ASIAMENU
ASI05V07	ASI05.ASIALIB
ASI10V01	
ASI11V06	

Latin American Bureau

LACMENU	LACMENU.LACMENU
LA01EV03	ENTRY.LACMENU
LA01MV02	MODIFY.LACMENU
LAC02V01	FILMER.LACMENU
LAC03V04	LAC03.LACLIB
LAC04V02	RETURN.LACMENU
LAC05V01	LAC05.LACLIB

LAC10V00
LAC11V00

African Bureau

AFRMENU	AFRMENU.AFRMENU
AF01EV11	ENTRY.AFRMENU
AF01MV08	MODIFY.AFRMENU
AFR02V06	FILMER.AFRMENU
AFR03V11	AFR03.AFRLIB
AFR04V07	RETURN.AFRLIB
AFR05V06	AFR05.AFRLIB
AFR10V01	
AFR11V06	

Contracts Bureau

PROJMENU
    PROJMENU.PROJMENU
PR0J1EV8
    ENTRY.PROJMENU
PROJ1MV5
    MODIFY.PROJMENU
PROJ02V5
    FILMER.PROJMENU
PROJ03V8
    PROJ03.PROJLIB
PROJ04V3
    RETURN.PROJMENU
PROJ05V3
    PROJ05.PROJLIB

Financial Management Bureau

FMMENU	FMMENU.FMMENU
FM01EV02	ENTRY.FMEMNU
FM01MV02	MODIFY.FMMENU
FM02V01	FILMER.FMMENU
FM03V02	FM03.FMLIB
FM04V01	RETURN.FMMENU
FM05V01	FM05.FMLIB

Science & Technology Bureau

SNT00V00	SNTMENU.SNTMENU
ST01EV02	ENTRY.SNTMENU
ST01MV03	MODIFY.SNTMENU
SNT02V01	FILMER.SNTMENU
SNT03V03	SNT03.SNTLIB
SNT04V01	RETURN.SNTMENU
SNT05V01	SNT05.SNTLIB

PRE Bureau

This is an experimental system which adds more data to the databases than the other systems.

PREMENU	PREMENU.LOAD
PRE1EV00	PRE1EV00.LOAD
PRE1MV00	PRE1MV00.LOAD
PRE02V00	PRE02V00.LOAD
PRE03V00	PRE03V00.LOAD
PRE04V00	PRE04V00.LOAD
PRE05V00	PRE05V00.LOAD

B. Core Microfiche Processing

MFMENU
    MFMENU.MFMENU
MF01V07
    ENTRY.MFMENU
MF02V02
    FILMER.MFMENU
MF03V06
    MF03.MFLIB
MF04V03
    TAPEFORM.MFMENU
MF05V02
    DELETE.MFMENU
MF06V02
    RETURN.MFMENU
MF07V07
    MF07.MFLIB
MFTRAKV9
    MFTRAK.LOAD

C. MenuDIS Programs.

Programs provide a menu driven interface to data. Program files are in the MENUMENU group and have the same name as the source files. The files MEUNIG.MENUDIS.MIN and MENUUG.MENUDIS.MIN are the Installation Guide and Users Guide which provide docmentation for these programs.

MENU0VA2
Processes 1st menu display in MenuDIS.

MENU1VA2,A3	Main MenuDIS program.
MENU2VA2,A3	Process report requests.

MENUIVA2
Installs system, sets up tables easily.

MENUNV00
Displays 'news'.

MENUPV00
Displays 'Program Reference Guide'.

MENURV00
Displays 'Reference Desk materials'.

MENU1SA2,A3	Main MenuDIS program w/online survey.

MENUSV00
Displays 'AID publications' information.

EDR00V01
Displays MenuDIS help files.

D. Online Ordering Programs.

ORD00V03	ORD00.MENUMENU
ORD01V02	ORD00V02.MENUMENU
ORDHTV00	ORDHIT.ACCTPROG

E. Abstract Adding Programs.

The DOCMENU program provides a menu for users to select the other program sets. The AUTO... programs select all files in the appropriate group for loading; the MANL... programs has the user key the names of the files to load. The other programs do validity checking, load abstracts, descriptors, identifiers and other fields, and purge the files after the data has been loaded.

DOCMENU	DOCMENU.DOCMENU

1. Projects and Document Abstracts.

PRJ00V02	AUTOPROJ.DOCMENU
PRJ01V06	PRJO1.DOCLIB
PRJ04V05	PRJ04.DOCLIB
PRJ07V05	PRJ07.DOCLIB
PRJ08V02	PRJ08.DOCLIB
PRJ09V02	MANLPROJ.DOCMENU
PRJ10V01	PRJ10.DOCLIB

2. Document Abstracts.

DOC01V00	AUTODOC.DOCMENU
DOC02V08	DOC02.DOCLIB
DOC03V00	DOC03.DOCLIB
DOC04V01	MANLDOC.DOCMENU

3. Projects only Abstracts (from Congressional Presentation).

CPO01V00	AUTOCP.DOCMENU
CPO02V02	CPO02.DOCLIB
CPO03V06	CPO03.DOCLIB
CPO04V06	CPO04.DOCLIB
CPO05V01	CPO05.DOCLIB
CPO06V00	MANLCP.DOCMENU

4. Wrids Abstracts.

WRI01V00	AUTOWRI.DOCMENU
WRI02V00	WRI02.DOCLIB
WRI03V00	WRI03.DOCLIB

F. Programs to format data for MINISIS database batch entry.

PROGRAM
DATABASE

URGEOIN
BURGEOIN.LOAD
ANYG

CIMSV01

CIMSV01.ACCTPROG
CIMSRD
CLASSIN
CLASSIN.ACCTPROG
CLASS
COORSV00
COORSV00.ACCTPROG
COORSRD
LIB2CAT3
LIB2CAT.ACCTPROG
CATRD
MISCDFMT
MISCDFMT.LOAD
MISACTRD
MISFMTV0
MISFMTV0.ACCTPROG
MISRD
PAHISTV0
PAHISTV0.ACCTPROG
PAISHIST
PJACSIV0
PJACSIV0.ACCTPROG
PJACSIRD
PURPIN
PURPIN.LOAD
PROJCODE
RAMPMOD2
RAMPMOD2.LOAD
AIDRD
SPECIN
SPECIN.LOAD
SPECCD
TECHIN
TECHIN.LOAD
PROJCODE

G. File Analysis Programs.
Programs that list or purge sets of files based on certain criteria (e.g. date last used, file type, creator of file).

FILELIST
FILELIST.ACCTPROG

MADWED05
    MADWED.ACCTPROG
MADTHU05
    MADTHU.ACCTPROG
MADFRI05
    MADFRI.ACCTPROG
MADMON01
    MADMON.ACCTPROG
LABLAL1
    LABLAL1.ACCTPROG
LABLALL
    LABLALL.ACCTPROG
MADLIST
    MADLIST.ACCTPROG
FIL01V01
    FIL01.ACCTPROG
FIL02V01
    FIL02.ACCTPROG

H. Computer Use Statistics Reporting Programs.

LOG00V04	LOG00.ACCTPROG
LOG01V03	LOG01.ACCTPROG
LOG02V04	LOG02.ACCTPROG
LOG03V05	LOG03.ACCTPROG
LOG04V04	LOG04.ACCTPROG
LOG05V01	LOG05.ACCTPROG
LOGYRV00	LOGYRV00.LOAD
LOGYTD00	LOGYTD00.LOAD
LOGTIV00	LOGTIME.ACCTPROG
LOGPRV00	LOGPRINT.ACCTPROG

I. Programs to Format Data for Specialized Output.

CAT2LIB0	CAT2LIB0.LOAD (for input to THE ASSISTANT)
DOC2LIB0	DOC2LIB0.LOAD (for input to THE ASSISTANT)
PJINDXV1	PJINDXV1.ACCTPROG (for fiche index by proj. no.)
BULKDIS0	BULKDIS0.LOAD (for recipients by type report)
RPTGEN16	RPTGEN16.UTILITY (user defined reports)
NOBLANK2	NOBLANK2.LOAD (deletes blank lines; adds CR/LF if data)
CRLFV01	CRLFV01.ACCTPROG (for input to CD's)
CRLDAIV0	CRLDAI.ACCTPROG (searches for control characters)

STRING00	STRING00.LOAD (concatenates 2 records)

J. Label Programs

ADPMENU	ADPMENU.ADPMENU
ADP09V05	LABEL.ADPMENU (Prompts for label options.)
ADP10V05	ADP10.ADPLIB (Sorts AD09'S file.)
ADP11V10	ADP11.ADPLIB (Prints labels from ADP10'S file.)
NZLABVA1	DOCLABEL.ADPMENU (Prompts for starting DOCID.)
NZLABVB1	LAB10.APDLIB (Prints next 2000 DOCID's for labels.)

K. Security Programs.

SEC00V01	SEC00V01.UTILITY
SEC01V00	SEC01V00.UTILITY

L. Other Programs.

BTREEV03
    BTREE03.ACCTPROG (checks Btree file sizes)
BTRALLV1
    BTREEALL.ACCTPROG (checks Btree file sizes)
CLANK2
    CLANK.ACCTPROG (checks LINKRD documents per project)
DBFILES2
    DBFILES2.ACCTPROC (checks database file sizes)
DESCRV00
    DESCR.ACCTPROG (loads descriptors from PC program file)
DOC1LST0
    DOCLIST.ADPLIB (gets starting DOCID for DOC2LST0)
DOC2LST1
    DOC2LST0.ADPLIB (prints next 2000 DOCID numbers)
FUNCKEY2
    FUNCKEYS.UTILITY (sets function keys for MINISIS users)
OPKEYS
    OPKEYS.ACCTPROG and OPKEYS.OPERATOR.SYS
ORDKEYV0
    ORDKEYV0.ACCTPROG (sets function keys for order updates)
PROJAUT1

PROJAUT.LOAD (adds a PROJATHRD field after updates)

READKSAM

READKSAM.ACCTPROG (reads INST KSAM file)

SURVTV00

SURVTV00.ACCTPROG (analyzes MenuDIS survey file)

SEE APPENDIX Insert 1.1.1.A-III - Schematic of HP System

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2 Acquisitions

2.1 Background - The Nature of A.I.D. Activities

Technical Acquisitions' function is to establish a current and comprehensive flow of A.I.D. documentation to the DIS. Naturally, the documentation reflects the nature of A.I.D. activities. The following are some of the major kinds of activities implemented by A.I.D.:

Development Assistance
Economic Support Fund (ESF)/Balance of Payments/Cash Transfer
Public Law 48O, Titles I, II, III,
Section 416
Section 1O8
Program Development and Support
Technical Assistance
Advanced Developing Country Program
Child Survival, Oral Rehydration Therapy, etc.
African Economic Policy Reform
Private Enterprise
Private Voluntary Organization
Self-Help
Small Program Assistance - Peace Corps/
Special Development Assistance
Housing and Urban Development
Regional
Sectoral
Disaster/Emergency/Famine Relief, etc.

These programs/projects are not at all mutually exclusive. For example, it is quite likely that a P.L. 480 program will have strong PVO and/or PRE components. P.L. 480 has among its rationales:

1. encouragement of the private sector for storage and distribution of food;
2. high visibility;
3. policy reform;
4. self-help and PVO components as in famine relief and/or Food for Work;
5. income generation (frequently under the auspices of CRS, CARE, CARITAS, ACDI, etc.).

Moreover, there is no definite formula for which activities are projectized and which are not. In fact, it is possible to find very similar activities that are funded and implemented very differently. **[See "Short Introduction to Non-Project Assistance," by Dan Westrick.]**

The four current major strategic objectives are Economic Growth, particularly for the poorest, Global Environment, Democratization, Health and Population.

Within these common agencywide objectives, priorities vary from Mission to Mission and from Region to Region. ENI, the newest Bureau, was created in response to the creation of the Commonwealth of Independent States (the former Soviet Union) and the independence of the Eastern Europe countries. In that region, the Agency's strategy is to create free enterprise, market-based economies, create pluralistic democratic institutions, and address major environmental problems. AFR is very concerned with Food Programs and Emergency Relief; LAC emphasizes political and economic stability, democratization, health care delivery, and education in direct response to the very specific recommendations made in the Kissinger Commission Report; Asia tends to long-term second and third generation developmental programs such as family planning, tertiary education and research facilities, and institutionalized health care; NE is concerned with programs which attempt to promote political stabilization in places like Lebanon and the West Bank.

It should also be remembered that the Agency is currently characterized by a program of closing Missions and implementing programs from Regional and Global bases, with greater use of travel, and reduced use of bilateral in-country programs.

The nature of program/project activities determines the kind of controlling, authorizing, and implementing documentation produced. This fact is basic to determining what kind of criteria should exist for entering documents into the DIS. In essence, the documentation reflects the diverse nature of A.I.D.'s programs, projects, and activities. Financing mechanisms also determine the kinds of documentation generated. **[See Glossary in Annex 2A.]**

2.2 Acquisitions Strategies and Sources for Acquiring Documents

2.2.1 A.I.D. Washington

The sources for documentation within A.I.D. range from non-existent to overlapping; consequently, Acquisitions uses the following strategies to acquire documents for the DIS:

1. Preparing and delivering briefings and presentations on the functions of Acquisitions; [This task is performed by the on-site Acquisitions Coordinator and is not a responsibility of the Technical Acquisitions Staff.]

2. Preparing and submitting printouts for A.I.D./Office review and submission of missing documents; [This task may be performed by either the Acquisitions Coordinator or by the

Technical Acquisitions Staff.]

3. Reviewing and culling office collections; [This task is performed onsite by the Acquisitions Coordinator and at the DISC by the Technical Acquisitions Staff.]

4. Contacting A.I.D./W for Regional and Centrally-funded projects which are designed in Washington generally, rather than in the field.

2.2.2 A.I.D. Contractors and Technical Sources

There is no technical (TR) channel equivalent to the PD, DR and DP channels in the Regional Bureaus. The major strategies used for obtaining technical documents are:

1. Mailings to A.I.D. contractors
2. Consistent work with the S&T Offices including the provision of printouts of projects to each project officer;
3. Presentations to Sector Councils/S&T Offices/Regional TR Offices;
4. Searches of the M/RM Bureau data bases in Bibtypes 81 (Research Reports) and 89 (Miscellaneous/Not Elsewhere Classified).

A data base is maintained on A.I.D. contractors in the Acquisitions Office and is maintained by the Acquisitions Coordinator.

2.2.3 USAID Missions

Mission-produced documentation is the most important source of information. USAIDs prepare the bulk of documentation on bilateral programs. Sources of authority for Acquisitions activities are:

1. Revised A.I.D. Handbook 18

2. The Acquisitions Guidance Cable, Number 202649, dated 6/92, establishing "Acquisitions Liaisons" in all USAIDs and A.I.D./W Offices.

3. The Acquisitions Packet

4. A.I.D. Contracts, which require submission of documents

5. Directive stated in the "Evaluation Handbook" (1986) which requires submission of Evaluations to Acquisitions.

6. The **A.I.D. Project Document Microfiche System (APDMS),** which is the Agency's Records Management data base and contains many categories of documents needed for the DIS, as well

as providing insight into how far given projects have progressed based on their document sets.

The major strategies for work with the USAIDs are

1. Outreach through Development Information Centers/Technical Information Centers, Information Resource Centers (DIC's/TIC's/IRCs), and through Temporary Duty Assignments (TDY's), has provided an awareness of the DIS and the kinds of documents needed for it.

2. Contacting USAIDs via "Mission Liaisons" and A.I.D./W Offices via "Office Liaisons" for information on specific programs/projects/activities and their documentation; [This task is performed by the Acquisitions Coordinator.]

After the A.I.D./W Offices and APDMS Microfiche have been reviewed, an eMail message or cable is sent to USAIDs, requesting Design Documentation for any project which lacks it. Ongoing exchange between the Acquisitions Coordinator and the USAIDs has now been established, due to policy changes regarding Acquisitions and to the increased capabilities associated with electronic communication systems.

3. Distribution directly to Acquisitions from some Program Offices, e.g., USAID/Senegal.

4. Cable/Memorandum Activity: In April of 1986, cables were sent by PPC/CDIE/DI to the USAID's requesting Design Documents on all project numbers for which the DIS had no documentation. Among the findings was that the range of potential Design Documents was much broader than had previously been known. As a result of this approach, later information received from the A.I.D./W PD and DR Offices, and a review of the APDMS microfiche, Acquisitions changed many of its operational mechanisms. Those changes are reflected in Section III guidelines.

In 1989, the Administrator sent a directive to all A.I.D./W Offices requiring status information and design documentation on a list of projects generated by the PPC/CDIE/DI, Direct Hire Systems Coordinator. All A.I.D./W Offices were directed to contact USAIDs under their jurisdiction for any information not available in A.I.D./W. This activity demonstrated several facts:

Some projects/activities are run by minimal (surrogate) documentation, e.g., Action Memos, PIO/Ts, etc., especially in AFR.

For projects completely designed, funded, implemented, contracted, evaluated, and completed in the field under field authority/initiative, there is no requirement for associated documentation to be sent to A.I.D./W; generally, these projects are not documented in the DIS. Among the categories where document gaps occur most frequently are Ambassador's Fund/Self-Help, Human Rights (now one of the four major strategic objectives), Local Cost Support, Special Development Assistance, Small Program Assistance/Peace Corps, Environmental Travel projects (now one of

the four major strategic objectives).

A.I.D.'s previous decentralization and emphasis on field authority increased the disparity in its documentation. Projects which in one country might require A.I.D./W approval could be implemented without any A.I.D./W input in other countries.

Under the current Administration, field authority is not as much a factor as previously for ongoing projects. It is still very much a factor, however, for those projects implemented several years ago, especially with the number of USAIDs closing in the next three years. It is expected that huge amounts of documentation on field-authorized projects will surface as these USAIDs close, and will challenge all DISC sections, especially Acquisitions, which will have to determine how the documentation is to be handled. Further consolidation of APDMS and DIS would make this massive task more manageable.

Because of the coming Mission closings and because of the greater interest in the above-mentioned kinds of projects (which lack documentation) under the current Administration, greater effort will be expended in reviewing and determining how such documentation is to be handled.

2.3 A.I.D. Documentation

DEFINITION OF REQUIRED TYPES OF A.I.D. "DEVELOPMENT EXPERIENCE DOCUMENTS":

POL/CDIE/DI, Document Acquisitions has defined nine (9) categories of "Development Experience Documents": policy development and policy directives; program and project development studies, surveys, and analyses; program descriptions, justifications, and reviews; project design and authorization documents; program and project evaluation, performance, and indicator reports; A.I.D.-supported research and technical reports; A.I.D. organizational, functional, or sectoral management studies; non-print information products; and contractor and grantee annual reports, final reports. **[See Annex 2B for additional information on documentation.**

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

POLICY DEVELOPMENT AND POLICY DIRECTIVES	
Briefing papers	Issues papers
Concept papers	Policy analyses
Directives	Position papers
Discussion papers	Strategic plans
Final guidances	White papers
Formal policy papers	Working papers

b. Program and project development studies, surveys, and analyses. Examples include PD&S-funded research reports, feasibility or sector studies, analytic and technical papers, and other key works that underlie design of an AID development assistance program, project, or activity.

PROGRAM AND PROJECT DEVELOPMENT STUDIES, SURVEYS, AND ANALYSES	
Anthropological analyses	Market research reports/studies
Baseline surveys	Political analyses
Economic analyses	Research reports
Environmental assessments	Sector assessments and studies
Environmental impact statements	Social soundness studies
Feasibility studies	Sociological analyses
	Technical papers

**c. Program descriptions, justifications, and reviews that define, describe, or analyze current or prior AID programs at country, sector, or issue levels. [See following chart.]

* THIS PROGRAM CATEGORY OF DOCUMENTS MUST BE SUBMITTED BY A.I.D. PERSONNEL.

PROGRAM DESCRIPTIONS, JUSTIFICATIONS, AND REVIEWS	
Action plans (APs) Annual budget submissions (ABSs) Central program strategy statements (CPSSs) Concept papers (Africa category III) Congressional committee and subcommittee reports Congressional hearings and testimony Congressional presentations and reports Congressional study missions Country development strategy papers (CDSSs) Country program strategy papers (CPSPs) Executive commission/committee reports	Executive task force reports Executive transition team reports Kissinger Commission reports Limited program strategy papers (LPSPs) Presidential commission and committee reports Presidential task force reports Presidential transition team reports Program objectives documents (PODs) Regional development strategy statements (RDSSs) Sector strategies Small program strategy statements (SPSSs) Strategy objectives statements

Examples of executive reports include Kissinger Commission, Ferris Commission, etc. reports; examples of other U.S. Governmental agency reports include Government Accounting Office (GAO), Office of Management and Budget (OMB) Swat Team, National Archives (NARA), and General Services Administration (GSA) reports.

d. Project design and authorization documents, etc., that define, describe, authorize, and commit a development assistance activity. Only key works in final approved form, whether funded from Economic Support Funds (ESF), Development Assistance (DA), the Development Fund for Africa, Food for Peace accounts, or other earmarks are to be submitted.

** THIS DESIGN CATEGORY OF DOCUMENTS MUST BE SUBMITTED BY A.I.D. PERSONNEL. CONTRACTOR VERSIONS ARE NOT ACCEPTABLE BECAUSE OF OFFICIAL AUTHORIZATION REQUIREMENTS.

PROJECT DESIGN AND AUTHORIZATION DOCUMENTS	
Activity approval memoranda (AAMs)	Operational program grants (OPGs)
Activity identification memoranda (AIMs)	Private enterprise papers (PEPs)
Approved proposals	Program assistance approval documents (PAADs)
Authorizations	Program assistance initial documents (PAIDs)
Capital assistance papers (CAPs)	Program assistance initial papers (PAIPs)
Concept papers	Program assistance initial proposals (PAIPs)
Cooperative agreements	Program assistance review documents (PARDs)
Development grant programs (DGPs)	Project agreements (PROAGs)
Grant agreements	Project concept papers (PCPs)
Handbook 13 grants	Project identification documents (PIDs)
Housing guarantees (HGs)	Project implementation orders/technical (PIO/Ts)
Inter-agency agreements (IAAs)	Project memoranda
Investment opportunity proposals (IOPs)	Project papers (PPs)
Investment proposals (IPs)	Project review papers (PRPs)
Letters of understanding (LOUs)	
Loan agreements	
Loan papers	
Memoranda of understanding (MOUs)	
Non-capital assistance project proposals (PROPs)	

**e. Program and project evaluation, performance, and indicator reports, and any other document containing significant evaluative information and observation. [See following chart.]

** THOSE EVALUATIONS STARRED (**) REQUIRE OFFICIAL APPROVAL AND MUST BE SUBMITTED BY A.I.D. PERSONNEL. CONTRACTOR VERSIONS ARE NOT ACCEPTABLE.

PROGRAM AND PROJECT EVALUATION, PERFORMANCE, AND INDICATOR REPORTS	
Country and program performance reports Cross-cutting evaluations Evaluation summaries (ES)** Project appraisal reports (PAR)** Project evaluation reports (PER)** Project evaluation summaries (PES)** Evaluations External evaluations Final evaluations GAO audits IG audits** Contractor audits Impact assessments Impact evaluations Interim evaluations Internal evaluations Program audits Program evaluations	Project appraisal reports (PARs)** Project assistance completion reports (PACRs)** Project completion reports (PCRs)** Project evaluation reports (PERs)** Project evaluation summaries (PESs)** Project implementation reports (PIRs)** Project implementation status reports (PISRs)** Sector evaluations Semi-annual portfolio reports (SAPRs)** Semi-annual status reports (SASRs) Special evaluations**

f. AID-supported research and technical reports and publications produced under a project, contract, grant, or cooperative agreement on AID activities, etc.

AID-SUPPORTED REPORTS	
Bibliographies Case studies Catalogues Centrally funded research directories Centrally funded research guides Contract publications and reports Cooperative agreement reports Data bases Dictionaries Directories Grant reports Handbooks Indexes Journal articles Literature reviews Monographs	Proceedings of conferences, seminars and workshops Project publications and reports Reference works Research guides, manuals, reports, training materials Scientific studies Statistical reports Technical guides and manuals Technical reports Technical reports on AID activities Technical support project directories Technical support project guides Technical training materials Thesauri

g. Organizational, functional, or sectoral management studies and reviews of AID institutional experience in managing U.S. foreign assistance are AID Development Experience Documents.

Also included are Agency-wide management reviews, strategic plans, proposals, reorganization information, e.g., Reorganization Updates, [staffing patterns, organizational charts], etc.

AID ORGANIZATIONAL, FUNCTIONAL, OR SECTORAL MANAGEMENT STUDIES	
Agency-wide management reviews AID development experience documents	Reorganization information Strategic plans

h. Non-print, graphic, artifact, media, and/or electronic information products, tools, and training materials, etc., produced with Agency project funds in furtherance of a development assistance activity are AID Development Experience Documents. Send a deposit copy of any such deliverable that accompanies a printed report. If non-print material is itself the deliverable, send a deposit copy, accompanied by a complete description with availability information, using the "Agency for International Development Audiovisual Resources Reporting Form," [AID 590-9 (1/91) Appendix A] provided by POL/CDIE/DI, Document Acquisitions.

NON-PRINT INFORMATION PRODUCTS	
Architectural renderings Audiotapes Blueprints Computer programs Data bases Diskettes Drawings Engineering renderings Filmstrips	Maps Microfiche collections Motion picture films Other media Posters Slide sets Sound recordings Training materials Videotapes

i. Contractor and grantee Annual Reports, Final Reports, and deliverables of the above eight types. Also included are quarterly and semi-annual progress reports, trip reports, interim reports, and status reports. NOTE. Contractors and grantees must send work directly to POL/CDIE/DI, Document Acquisitions.

CONTRACTOR AND GRANTEE REPORTS	
Annual reports Final reports Interim reports	Semi-annual progress reports Status reports Trip reports

[For additional information on "Development Experience Documents," please see Annex 2B.]

REQUIREMENTS FOR DOCUMENT FORMAT OF A.I.D. DOCUMENTS:

An A.I.D. document must meet the following basic standards to be entered into the Development Information System (DIS). In order for PPC/POL/CDIE/DI, Acquisitions to accept a document for the DIS, it must:

- Be an A.I.D. document. (In this context, the word, "document" refers to any A.I.D.-sponsored material in any format, e.g., paper, electronic transmission, diskette, computer program, multi-media set, videocassette, etc.)

- Be complete, legible, and free of typographical mistakes, and typeovers.

- Contain all authorizing signatures, and the dates of signing must be present and clear.

- Be the final, authorized version if it is a Design Document, an Evaluation Summary, or any official A.I.D. document type that requires signed approvals.

Note: No draft or contractor-produced versions of Design Documents or Evaluation Summaries (ESs) are acceptable for the DIS.

For all other types of documents, final versions are preferred; however, the DIS will enter draft versions of certain classes of preliminary documents, e.g., technical reports, and will mark the record "Draft ed." The draft document must be labelled to indicate that it is not the final version. It will be held and will be available, but its record will show its draft status. The final version should be submitted when it is produced or information provided that the draft has been approved. The final version will then replace the draft and will have the same DOCID. The "Draft ed." indication will be removed from the record. Draft editions will not be filmed for one year or until a final version is submitted, whichever condition occurs first.

- Contain all volumes, chapters, parts, sections, pages, annexes, appendices, exhibits, charts, graphs, photographs, drawings, maps, etc. in their proper places.

- Contain all components in the set, if multimedia, e.g. videocassette, manual (paper format), computer program; e.g., slides, cassette tape, manual (in paper format).

- Be legible and capable of reproduction by photostatting, microfilming, video duplication, audiocassette duplication, electronic transmission, as appropriate, for all parts, media components, annexes, sections, etc.

- Not be a duplicate, i.e., a title which is already in the DIS (determined by dupchecking as described in **ANNEX II]**.

- **NOT** be a **"Classified Document" of the U.S. Government at any level.**

Note: No U.S. Government Classified Documents at any level are to be submitted to Acquisitions. Any Classified Documents should be sent according to U.S. Government regulations in sealed envelopes, marked "Classified Document" and addressed to the "Acquisitions, Research and Reference Services Coordinator," PPC/POL/CDIE/DI, Room 303, SA-18.

- Indicate that a given document is **restricted** (but not classified). The document should show the nature of the restriction, (e.g., **"Procurement Sensitive Document (PSD) -- FAR Source Selection Restriction"** on the title page of the document.) **In addition, every restricted page should be stamped with the restriction on both the top and bottom.** The date the restriction is to be removed automatically should also be shown on the title page, (i.e., **"Automatic Release from Restriction two (2) years from the date of this document"; "Document No Longer Subject to Restriction after June 1, 1994"**; etc.)

Electronically transmitted LAN file.

- If electronic, preferably, it will be in Word Perfect.

- If tables, charts, etc. are in different programs, preferably all components will have been created or transmitted into Word Perfect (WP5.1 or WP6) and composed as a single document. If, however, several different programs are used, the programs and any instructions for compiling and printing the document must be included in a cover memo, Email, or "Read Me" file. Other components must be stored so as to enable retrieval and compilation to produce a "complete document"? (In this context, the term, "complete document" refers to a "document" which has all its pages, annexes, graphic materials, multimedia components, etc.)

Floppy diskette in either 3 1/2" or 5 1/4" format.

- Diskettes must be protected from demagnetization, from bending and warping, from humidity and temperature damage, and must be write protected.

- Preferably, the document(s) on the diskette will have been compiled in WP5.1 or WP6.

- If the document contains multiple files, instructions must be included in a cover memo, Email, or "Read Me" file to indicate whether more than one document is contained on the diskette and how the files are to be compiled to produce the "complete" document and/or documents.

- If the files are in different programs, a description of the programs used and conversion instructions must be included in a cover memo accompanying the diskette, an Email, or

a "Read Me" file.

- If programs other than Word Perfect were used in the creation of the document, other programs used for various components must be capable of compilation, of storage (archiving), retrieval, and printing to enable the DISC to provide a "complete document" to requesters.

If the document requires approval or authorization, (e.g., Project Papers, Program Assistance Approval Documents, Inter-Agency Agreements, Grant Agreements, Loans, Evaluation Summaries, etc.) the document must be signed and dated. Until electronic signatures are allowed, a paper copy of the signed, dated facesheet and Authorization must be sent with the electronic version of the text of the document.

- Have an authorized facesheet or a title page which shows the **"seven essential bibliographic elements," (q.v. below)** for proper entry into the DIS:

Seven Essential Bibliographic Elements
AUTHOR NAME(S) **DESCRIPTIVE DOCUMENT TITLE** **PROJECT NUMBER(S)** **SPONSORING A.I.D. OFFICE(S) OR USAID(S)** **CONTRACT NUMBER(S)** **CONTRACTOR NAME(S)** **DATE OF PUBLICATION OR ISSUE (YEAR PRODUCED OR YEAR DISTRIBUTED)**

POL/CDIE/DI requires that the **"seven essential bibliographic elements"** be provided either on the title page of the document or on the **"Report Processing Form" [A.I.D. 590-7, in ANNEX ***]** to accompany documents submitted for inclusion in the DIS. The completion of **Form AID 590-7** ensures that all necessary data elements are provided. **However, no information supplied on the title page of the document needs to be entered on the form. Only the submitting official's name, position title, telephone number, and date submitted need to be completed it the title page if the document itself includes the "seven essential bibliographic elements."** [It should be noted that where a corporation, university, organization, institution, etc. is the author, no individual author(s) names are necessary.]

ELECTRONIC MACRO VERSION OF THE "PROPOSED A.I.D. REPORT/ELECTRONIC DOCUMENT REPORT PROCESSING FORM": [This form may be copied electronically or printed for use in any A.I.D.-funded document as the title page

or the "Report Processing Form" in lieu of the official printed version of the form A ID 590-7. Please see Annex *]**

PROPOSED
A.I.D. REPORT/ELECTRONIC DOCUMENT REPORT PROCESSING FORM

FILE NAME:	[FOR DISC USE ONLY] DOCUMENT IDENTIFICATION NUMBER (DOCID):
FILE SIZE:	OTHER FILE NAMES RELATED TO THIS ITEM:
PROJECT NUMBER(S):	CONTRACT NUMBER(S):
INSTRUMENT NUMBER(S) [PIO/T, RSSA, WO, TO, DO, ETC.]:	DOCUMENT TYPE:
TITLE:	
SPONSORING A.I.D. OFFICE(S) [OFFICIAL NAME OR ACRONYM]:	SUBMITTING A.I.D. OFFICIAL'S NAME, OFFICE ADDRESS, AND TELEPHONE NUMBER:
AUTHOR NAME(S):	CONTRACTOR NAME(S):
DATE OF PUBLICATION:	DOCUMENT INCLUDES EXECUTIVE SUMMARY OR AUTHOR-PREPARED ABSTRACT: YES ___ /NO ___
APPROVED BY [IF REQUIRED]:	DATE OF APPROVAL/AUTHORIZATION:
SUPPLEMENTAL DATA [E.G., SERIES TITLE, WORKSHOP/CONFERENCE/SEMINAR NAME, REPORT NUMBER, TRANSLATED TITLE, DRAFT VERSION, EDITION/ISSUE STATEMENT, ABSTRACT (OPTIONAL) SUBJECT HEADINGS (OPTIONAL)]:	
RETENTION SCHEDULE ITEM CODE:	HANDBOOK 21 SUBJECT CODE:
ACSI CODE(S):	RESTRICTION(S):
MEDIA DESCRIPTION: [E.G., TYPE OF MEDIA, RUN TIME, B/W OR COLOR, SPEED, ETC.]:	
OTHER INFORMATION:	
FORM REVISED JUNE 9, 1993	

Note: One value of an electronic macro form is that each category on the electronic form will expand to take as much information as needed.

2.3.1 Design Documents

The following are potential design documents or project description documents:

Pre-Approval Design Documents

1. Project Identification	01
2. Program Assistance Initial	47
(PAID's/PAIP's)	22
3. Concept Papers	20
4. Project Concept Papers (PCP's)	29
5. Investment Opportunity Proposals (IOP's)	29
6. Proposals (Solicited or Unsolicited	02

Items 1 to 3 above are entered into the DIS; Items 4 and 5 should be sent to the Chief of the A.I.D. Library.

Approved (Authorized) Design Documents

1. Program Assistance Approval Documents	47
2. Project Papers (PP's)	42
3. Operational Program Grants (OPGs)	81
4. Housing Guarantee (HG's)	46
5. Private Enterprise Papers (PEP's)	48
6. Investment Proposals (IP's)	48
7. Grant Agreements (Proag's)	38
8. Cooperative Agreements	38/81
9. Letter Grant Agreements	38/81
10. Limited Scope Grant Agreement (LSGA's)	38/81
11. Specific Support Agreements	38/81
12. Matching Grant Agreements	81
13. PL 48O Agreements	38/81
14. "Agreements"	38/81
15. Non-Capital Assistance Project Proposal	43
16. Loan Paper/Capital Assistance Paper	57
17. Approved Proposals (Solicited or Unsolicited)	02
18. Program/Project Authorizations	50
19. Action Memos	50
2O. Memoranda of Understanding	38/81/49

21. New Project Descriptions (NPD's)	27
22. Project Implementation Orders/Technical (PIO/T's)	49
23. (RSSA's)	49
24. (PASA's)	49
25. Individual Activity Assessments (IAA's) (Peace Corps)	49

For Design Documents, Acquisitions has established an order of priority for determining which approved documents should be entered into the DIS and a set of provisional guidelines. In general:

1. The preferred Design Documents are Program Assistance Approval Documents (PAAD's); Project Papers (PP's); Operational Program Grants (OPG's); Housing Guarantees (HG's); Private Enterprise Papers (PEP's); Investment Proposals (IP's).

2. Many activities, particularly those with participating Private Voluntary Organizations (PVO's), universities and colleges, collaborative research institutions, regional organizations, program support components, host country Non-Governmental Organizations (NGO's), etc. use the documents identified in Items 7 to 17 rather than those in Items 1 to 6. Therefore, where no document listed in Item A is present, but one or more of the documents in this category occur(s), add the Agreement(s) to the DIS.

3. Where no documents in Items 1 to 17 (i.e., categories A or B) occur, use one or more of the documents identified in Items 18 to 2O if a program/project description is found.

4. Categories 21 to 25 are generally NOT added to the DIS unless Acquisitions and/or Abstracting select certain documents and specify that they are to be entered into the DIS. Projects which have only the types of documents in this category will usually be Aqnoted.

All documents of whatever category should be duly signed, dated, and authorized. Any design document which is not signed or authorized should be entered into the DIS as a "draft" only.

Particular types of programs have certain characteristics which must be considered in determining appropriate criteria for their documentation on the DIS:

1. Program Development and Support may be used for many purposes, including feasibility, design, evaluation, or support in personnel, materiel, training, etc. It is used for hiring every kind of worker from a computer specialist designing a tax system to a chauffeur and/or for funding numerous local PVO's and/or for sponsoring conferences, seminars, etc. The design documentation for these kinds of activities tends to include numerous grants of all types and numerous PIO/T's.

2. Regional Programs which emphasize providing funds to established regional organizations of multigovernmental or institutional nature and/or to established PVO's for carrying out multi-

national and/or multi-donor projects tend to include the same kind of documents mentioned in Item 1, plus Approved (Solicited and/or Unsolicited) Proposals and SubGrants.

3. PVO's tend to be very diverse in their documentation and in their patterns region to region. ANE usually has a generic PVO Co-Financing Project with a general Project Paper and numerous PVO grants. AFR may or may not have a general PAAD or Project Paper with numerous grants, Action Memos, and/or PIO/T's. LAC frequently uses grants to implement this kind of project with no general Project Paper. FVA and SCI/AD implement projects on the basis of a grant/proposal combination.

4. Self-Help, Small Program Assistance/Peace Corps, Special Development Assistance, tend to be implemented by "Agreements," (frequently very minimal), Memoranda of Understanding, Action Memos, PIO/T's, RSSA's, PASA's, or IAA's or some combination of these.

5. PRE: All Design Documents are sent to the Chief of the A.I.D. Library.

We have learned from Bureau PD sources, from the Missions (specifically via the cable activity of 1986), and from reviewing the Bureau microfiche that some projects do not have a Design Document type higher than either a PIO/T (PIO/C, PIO/P) or an Action Memo and/or both. PIO/T's, RSSA's, PASA's and IAA's will not generally be added to the DIS; Action Memos will be added to the system when they are descriptive and authoritative. Aqnotes will be entered for those projects which are implemented only by one or more PIO/T's (etc.), using the following wording: "PIO/T (RSSA, etc) = only descriptive project document to date; see Bureau fiche." If a higher priority document is received at a later date, the Aqnote will be removed and the new document entered into the DIS.

Abstracting and Acquisitions have conferred and cooperated frequently on determining appropriate documentation for the DIS. In some instances, however, the requirements for Acquisitions and those for Abstracting do not coincide. There will be kinds of projects, such as PVO, PRE, PD&S, country components of regional projects, PL 480, etc., where Acquisitions will add documents to the DIS that for one reason or another will not be considered abstractable. The addition of these documents will, however, serve to convey to the user the nature of certain kinds of projects.

2.3.2 Evaluations and Audits

1. Project Evaluation Summaries (PES's)
2. Evaluation Summaries (ES's)
3. Special Evaluations
4. Mid-term Evaluations
5. Final (Evaluative) Reports
6. Audits
7. Various Evaluation Series issued by PPC/PPE

8. Impact Evaluations
9. Cross-cutting Evaluations
10. Project Appraisal Reports (PAR's) <older projects only>
11. Project Evaluation Reports (PER's) <older projects only>

All documents received by Acquisitions in the above categories are entered into the DIS. (PES's, ES's, PAR's, and PER's) should be signed and dated or be in the official M/RM Bureau microfiche. Any unsigned document which is added to the DIS should be entered as a "draft" only.

2.3.3 Technical Reports

Technical documents are the published products of a program/project/activity.

This category covers a wide range of documents. Among the most common types are:

1. Technical Reports
2. ResearchStudies
3. Contractor/Consultant Reports other than Interim or Progress reports
4. Workshop/Conference Papers
5. Feasibility Studies
6. Final (Technical) Reports
7. Economic Analyses
8. Directories, Handbooks, Dictionaries, Reference Works, Bibliographies

Documents of these types sponsored by A.I.D. are always entered into the DIS. The best of these documents are abstracted for "ARDA" ("A.I.D. Research & Development Abstracts"); consequently, it is important to have a large, representative universe of these documents from which to select in support of the "ARDA" component of PPC/CDIE/DI's efforts.

9. Annual/Interim/Progress/Status Reports

Please note that Annual Reports or any reports which cover 12 or more months are added to the Docrd data base in the DIS. The quarterly and semi-annuals are added to the Invrd data base in the DIS in most cases. However, exceptions are made for periodic reports for activities sponsored by the Office of the Science Advisor and for those PVO reports sponsored by the Bureau of Foreign Voluntary Assistance, Office of Private and Voluntary Cooperation and Office of Food for Peace.

2.3.4 Program Documents

Program-level documents have become an issue for Acquisitions because some major activities are being implemented at this level rather than at the project level. Extending the R/RM filming

to program-level documentation would improve Acquisitions coverage in this realm of A.I.D. documentation.

1. Country Development Strategy Statements (CDSS's)
2. Central Program Strategy Statements (CPSS's)
3. Regional Development Strategy Statements (RDSS's)
4. Small Program Strategy Statements (SPSS's)
5. Action Plans (AP's)
6. Annual Budget Submissions (ABS's)
7. Policy Papers
8. Country Profiles
9. Sector Assessments
10. Strategy Statements issued by specific missions, sectors and/or offices, e.g. Child Survival Strategy, Donor Coordination, Private Enterprise Initiatives;
11. Programmatic Guidelines, e.g. P.L. 480 Guidance.

2.4 Procedures

2.4.1 Document processing

Daily Tasks:

- Receive and review current mail.

- Determine whether material is A.I.D. or non-A.I.D.; documentation for the DIS must be funded by A.I.D. The current **[WHAT DATE?]** non-A.I.D. material should be sent to the A.I.D./W/DIC Acquisitions Librarian for consideration for inclusion in the A.I.D./W/DIC.

- Dupcheck A.I.D. documents against the DOCUMENT and INVRD data bases for duplicate copies before sending to Cataloguing. **[See Annex II for Dupchecking Guidelines.]**

- Categorize materials received into PDs, PNs, IPCR PDs, IPCR PNs, INVRD, APDMS (for financial, most progress and trip reports, unless substantive or sparse coverage on DOCUMENT).

- Record statistics on tally sheet by PN/PD/INVRD category and Region or Centrally-Funded; submit the final totalled sheet to the Acquisitions Coordinator at the end of each month.

- Route and Queue documents according to PD, PN, IPCR PD, IPCR PN, INVRD, APDMS for Cataloguing; shelve in designated areas for each category. Cataloguing will

retrieve them for entry.

Periodic tasks:

2.4.2 APDMS Data Base Reviews

Reviewing the APDMS Microfiche systematically. [This task is performed currently, primarily by the Deputy APDMS Coordinator. Both Technical Acquisitions and Abstracting advise on needed documentation on APDMS.]

2.4.2.1 APDMS Data Base Searches

A printout is automatically provided for each box returned from the filmer which has any documents in the following APDMS bibliographic codes:

26 PP/Paad
27 PP/PAAD Amendment
28 Authorization
29 Authorization Amendment
3O Grant Agreement
35 Action Memo
81 Report, Research
83 Report, Evaluation
84 Report, Audit
85 Report, Final
89 Report, NEC

Except for PRJSRD, where

70 Contract/Grant and Amendments
71 Contract/Grant

These codes are checked against the APDMS data bases. The A.I.D. Bureau - APDMS data base equivalencies are:

AFR (Africa) = AFRBRD;
ANE (Asia/Near East) = ASIARD;
LAC (Latin America/Caribbean) = LACRD;
GLOBAL/R&D (Global/Research and Development) = SNTRD;
CONTRACT OFFICE (Contracts data base, checked for Grants/Contracts only) = PRJSRD

The paper copies of any documents in these categories which are not on the DIS are culled from the boxes and sent to cataloguing for entry into the DIS.

The stream jobs used for the printouts for the annual review of the Regional Bureaus are:

a. PRJDOC.STREAMS, which searches the full Projects data base for any project which does

not have one of the documents identified in Items 1 to 2O. **[See Approved Design Documents in chart under Sections 2.3 and 2.3.1.]**

b. The resulting project numbers are then run through a series of stream jobs, for which the prototype is SANE.STREAMS, which checks these project numbers against the Design Documentation in the APDMS Microfiche files. The Bureau/Stream Job equivalencies are:

AFR = AFRPRJ.STREAMS; ANE = SANE.STREAMS;
LAC = LACPRJ.STREAMS; S&T = STPRJ.STREAMS.

This printout is then reviewed by Technical Acquisitions, the APDMS Deputy Coordinator, and Abstracting. Any project for which a Design Document is found in the various Bureau records, specified above or in the data base for Financial Management (PRJSRD), is eliminated when a final printout is prepared for the Regional Bureaus. The printout is then sent to the ANE and AFR PD Offices which check their respective files and provide the pertinent documents and/or identify significant design documents on the printout, and/or advise on the status of documentation for individual projects.

Because of the difference in organization in the LAC Bureau, the printout generated by the two stream jobs described above is used by Acquisitions to cull the Design Documents from the LAC/DP files. A printout is not sent to LAC/DR because that office has verified that Acquisitions receives everything it does and because the projects identified by the stream job searches have been verified as being activities handled by LAC/DP rather than by LAC/DR.

Those projects which have minimal documentation or documents which are not generally accepted for the DIS are then Aqnoted on the Projects data base. Where possible the AQNOTES refer the user to the R/RM records. (Other AQNOTES advise that a subactivity is covered by the Design Document on the main project.)

The effect of AQNOTES is to eliminate projects from being included in the printout sent to the Bureaus because the Bureaus and/or Acquisitions and Abstracting have previously researched and determined the availability of documentation for given projects.

- Identifies gaps in the document set. [This task is performed on both an individual project and A.I.D./Office or Mission portfolio basis by the Acquisitions Coordinator, the Technical Acquisitions Staff, and the APDMS Deputy Coordinator.]

- Dupchecks Bibliographies [Acquisitions Coordinator and Technical Acquisitions Staff]

- Acquires missing pages, legible copies, required bibliographic information, contacting contractors for clarification and verification. [This is a Technical Acquisitions task.]

- Contacts contractors for submission of its documents. [This is a task normally performed

by the Acquisitions Coordinator.]

2.4.3 DIS Document Guidelines

PN and PD documents in the Design Document and Evaluation Bibtypes (regardless of date), and recent Technical categories, with publication dates no older than two (2) years back (set from which ARDA entries are selected) are the priority documents and are queued for complete entry into **DOCRD**.

PN and PD documents, other than Design Documents or Evaluations, whose dates are more recent than five (5) years but older than two (2) years and substantive progress and trip reports are queued for **Initial Partial Record Cataloguing (IPCR)**
on **DOCRD.**

Documents older than five (5) years and **AIDHOC** documents are queued for entry into **INVRD.**

All financial reports and most progress and trip reports, which are either insubstantial or where projects currently have significant documentation, are routed to **APDMS** in batches. **[It is suggested that consideration be given to treating interim Science Advisor reports in this way also. Final reports will still be entered into DOCRD.]**

2.4.3.1 Drafts

Draft technicals, 1989 to present, will be entered into **DOCRD** and held in the Paper Copy Library. A note that the document is a draft will be added to the DIS record in B82O. If a final version is provided subsequently, the final will be given the draft document's **DOCID**, the draft will be discarded, and the final will be fully processed. Acquisitions has found that some drafts may be the only versions of a document ever produced.

2.4.3.2 Project Authority

The Bureau files and sources and the Missions will be considered the final authority for decisions on documentation. If a document occurs in the files for a specific project number, it will be assumed that that document applies to that project unless overwhelming reasons for questioning a project number are provided. In that event, the Bureaus or the Missions will be contacted for clarification. This decision was made on the basis that the Missions for country-specific projects and the Regional Bureaus for regional projects assign the project numbers.

2.4.4 Reporting

1. Submit monthly activity reports to the Acquisitions Coordinator and to the Deputy Contract Manager for inclusion on the monthly LOTUS spreadsheet.

2. Create graphs from Lotus spreadsheets for briefings and for inclusion in the Annual Report [Acquisitions Coordinator performs this task.]

2.4.5 Tracking Files [Acquisitions Coordinator performs the following tasks.]

1. Monitors use of Report Processing Form
2. Updates Mission receipts ("USAID") and maintains USAID data base
3. Updates and maintains Contractor data base

2.4.6 Maintaining Contacts: [Acquisitions Coordinator performs the following tasks.]

1. Updates Acquisitions packet for Briefings
2. Makes presentations to **A.I.D./W Offices and Contractors**
3. Corresponds with **USAID Mission Liaisons**
4. Sends printouts to Bureaus [Acquisitions Coordinator and Technical Acquisitions Staff, when directed by Direct Hire Coordinator or Acquisitions Coordinator]

2.4.7 Individual Document Request [Technical Acquisitions Task]

1. Batches requests for concentrated effort once a month.
2. Locates better quality documents for filming.

ANNEX I: GLOSSARY

ACQUISITIONS - the unit responsible for acquiring A.I.D.documentation worldwide, using systematic and informal channels, networks, sources, contacts, contractors, etc. in A.I.D./Washington, in the U.S., in Host-Country A.I.D. Missions (USAID's), for controlled bibliographic entry into A.I.D.'s Development Information System (DIS)

AGENCY FOR INTERNATIONAL DEVELOPMENT - the U.S. government organization responsible for the planning and implementation of foreign assistance activities within the context of U.S. foreign policy

A.I.D. HANDBOOK - a multi-volume, continually updated, indexed set of manuals detailing A.I.D. policies, procedures, requirements, directives, and guidelines

A.I.D. RESEARCH & DEVELOPMENT ABSTRACTS - the A.I.D. publication published by PPC/CDIE/DI/DISC four times a year which abstracts the best technical documents produced under A.I.D. auspices within the last two years and acquired for the DIS

ANOTE - a note entered in the ANOTE field on the M/RM Bureau data bases which indicates that the document has been entered into DOCUMENT (DOCRD) or indicates that the document has been reviewed and why the document did not meet the criteria for entry into DOCUMENT (DOCRD)

AQNOTE - a note entered in the AQNOTE field on the PROJRD data base which indicates the Project is covered by a Design Document, has no Design Document which meets the criteria for entry into the DIS, that a given Design Document on the main Project Number covers its Subprojects, or that compensates for a system flaw for older documents. The effect of an AQNOTE is to eliminate certain Project numbers from the search for missing documents when printouts for the Bureaus are produced.

AUTHORITY CODES - the numeric codes on INSTDS data base which designate the authorized name for each bureaucratic unit of A.I.D., its Contractors, and its Grantees.

AUTHORIZATION - the kind of document or, in some instances, the Action Memorandum which, when signed and dated, officially approves a given A.I.D. activity and begins the implementation process.

BCODE - the field showing bibliographic type on the M/RM Bureau data bases

BIBTYP - the field showing bibliographic type on DOCUMENT (DOCRD) databases, e.g., Project Paper, Evaluation, A.I.D. Supported Study

BUREAU - the major divisions of A.I.D.

CASH TRANSFER - the category of funding used for balance of-payments assistance

CONCEPT PAPER - a generic term for two kinds of document:

a. equivalent of a Project Identification Document (PID) in some instances
b. a preliminary document discussing a potential approach to a given problem, issue, or need which is of concern to A.I.D., sometimes, a pre-Design Document

CONTRACTOR - an individual or corporate entity which is hired by A.I.D. to perform specific functions, tasks, and/or services set forth in a legally binding contract

DESIGN DOCUMENT - a document which describes and/or implements A.I.D. programs, projects, and activities, including both pre-approval (e.g., Project Identification Documents) and final approved Design Documents (e.g., Project Papers)

DEVELOPMENT ASSISTANCE (DA) - standard project activities

DEVELOPMENT FUND FOR AFRICA (DFA) - a special fund, authorized for Africa only, which allows more flexibility in programming, quicker response to famine, drought, and emergency conditions, and more leverage in economic policy reform programs in the context of policy dialogue

DEVELOPMENT INFORMATION SYSTEM - the automated on-line information system which provides data on A.I.D. projects and their related documents, using the user-friendly "Minisis" program

DEVELOPMENT PLANNING - the A.I.D. offices responsible for programming and evaluation within the various Bureaus, which are sources for program documents and evaluations

DIRECT HIRE - an employee who works for A.I.D. under the Foreign Service or the Civil Service as distinguished from a Contractor or Grantee

DOCRD - the processing data base of bibliographic records of all documents entered into the DIS

DOCUMENT - the user-friendly data base of bibliographic records for all documents entered into the DIS.

DOCUMENT IDENTIFICATION NUMBER (DOCID) - the order number assigned to each document entered into the DIS to identify each documentindividually (Ex. PD-ZZZ-000, XD-

ZZZ-000 A2, PN-ZZZ-000)

DRAFT - (Meaning varies substantially.) Sometimes, the final manuscript submitted to a printer; sometimes a preliminary working document; sometimes the only document ever produced. Process a draft whenever received; the Cataloguers will enter it, noting on the system in b82O that the document is a draft. It will not be filmed (unless it has previously been filmed through the M/RM process) and will be held in the Paper Copy Library. If a final or authorized version is received, the draft will be discarded, its Docid assigned to the final, and the final fully processed.

DUPCHECKING - the process of checking documents against the DIS to determine whether or not they have previously been entered into the DIS.

ECONOMIC SUPPORT - programmatic and balance-of-payment

FUND - assistance rather than project assistance frequently used for programs such as PL 48O, private enterprise initiatives, debt reduction, interest payments, etc.

EVALUATION - the bibliographic type of document which reviews and assesses programs, projects, activities, strategies, initiatives, sectors, issues, etc. and makes recommendations for improvements based on methodological and experiential factors

FINAL REPORT - a generic term for a number of different kinds of reports, including

a. an end-of-project evaluative report
b. an end-of-project technical report
c. the last report following a series of interim reports
d. the last report on a component of an activity but not on the entire activity
e. a Project Assistance Report (PCR) or Project Assistance Completion Report (PACR) prepared by the Direct Hire (usually Project Officer) responsible for implementation

GRANT AGREEMENT - the legally-binding funding document between A.I.D. and Host-Country Governments, PVO's, Beneficiaries, etc.

GRANTEE - a recipient of A.I.D. grant funds

GRANTOR - A.I.D., the provider of funds for assistance

HOST-COUNTRY (HC) - countries in which A.I.D. has Missions and/or those benefitting from A.I.D. funding and activities

HOUSING GUARANTEE (HG) - official Design Document which controls housing and urban assistance programs

IMPLEMENTATION - that phase of an A.I.D. program, project, or activity from the time the Design Document is approved, the activity is authorized, and funds begin to flow until the activity is completed according to its official Project Assistance Completion Date (PACD)
INSPECTOR GENERAL (IG) - office responsible for financial review and providing audits

INVESTMENT OPPORTUNITY PROPOSAL - the pre-approval Design Document for revolving-fund private enterprise projects equivalent to a PID for DA projects

INVESTMENT PROPOSAL - the Design Document for revolving-fund private enterprise projects, when approved; equivalent to a PP for DA projects

LIMITED SCOPE GRANT AGREEMENT - Grant given by A.I.D. to accomplish a relatively narrow task

MATCHING GRANT AGREEMENT - FVA-sponsored Grant used for some PVO activities

OPERATIONAL PROGRAM GRANT (OPG) - Preferred Design Document for PVO projects, when approved

PROJECT CONCEPT PAPER - the pre-approval Design Document for non revolving-fund private enterprise projects, equivalent to a PID for DA projects

PRIVATE ENTERPRISE PAPER - the Design Document, when approved, for non revolving-fund private enterprise projects, equivalent to a PP for DA projects

PRIVATE VOLUNTARY ORGANIZATION - a charitable organization, approved by, Registered with, and selected by A.I.D. to perform specified functions, tasks, or services under the terms of a Grant for the benefit of Host Countries

PROGRAM ASSISTANCE APPROVAL DOCUMENT (PAAD) - the preferred Design Document for Programs when approved

PROGRAM ASSISTANCE INITIAL PROPOSAL/PAPER (PAIP) PROGRAM ASSISTANCE INITIAL DOCUMENT (PAID) - the initial pre-approval Design Document for programs, equivalent to a PID for projects

PROJECT DEVELOPMENT - the A.I.D. offices responsible for project design within the various Bureaus

PROJECT IDENTIFICATION DOCUMENT (PID) - the initial pre-approval Design Document for projects

PROJECT PAPER (PP) - the preferred Design Document for DA projects, when authorized

PROPOSAL - generic term for a number of kinds of documents used for different purposes, including:

a. preliminary pre-approval Design Document

b. Design Document, when approved, sometimes by itself and sometimes in conjunction with a Grant. (e.g., the Proposal and Grant constitute the Design Documentation for Sci Ad Projects; the Proposal is a part of the Grant for FVA/PVC projects.

ANNEX II: Dupchecking Guidelines

DUPCHECKING INSTRUCTIONS FOR DOCUMENT/INVRD:

THE TECHNICAL TASK: DUPCHECKING AND DOCUMENT EVALUATION

Dupchecking documents consists of checking a document in hand (or a generated list of documents for M/RM) to be sure that the subject document(s) is/are not currently on either DOCUMENT or INVRD.

A. For M/RM documents:

For every box of documents returned from filming, a printout is automatically generated which shows any document occurring in any of the above-noted Bibtypes on any of the M/RM data bases. (Filming the documents before dupchecking them keeps the Micrographics process on schedule and assures that the official microfiche is produced before Acquisitions handles the records.)

To determine if those boxes for which printouts have been provided have been returned by the filmer, check the log in Micrographics, which shows the Batch and Box Numbers and the Dates Sent To and Received Back from the filmer.

Match each printout with its corresponding box. (It is better to take only one or two boxes at a time; in general, it is suggested that the printouts with the most citations be checked first. However, it is useful to monitor the schedule for sending the boxes to the warehouse for permanent storage so that if printouts for several Bureaus have been generated, it will be known which Bureau's documents will be removed first. Remember that even if the boxes are sent to storage, the DIHF still has the microfiche. Having the actual paper copy rather than having to order a blowback saves time and labor.)

B. Dupchecking

1. Specific Purpose of the Exercise

The purpose of dupchecking is to determine whether the M/RM document in hand is or is not currently on DOCUMENT. Dupchecking is thus a preliminary "weeding out" of M/RM, which are not appropriate for the DIS or which are currently on it and to identify those R/RM documents which are needed for the DOCUMENT data base.

2. Dupchecking Procedures

a. Sign on to DOCUMENT.

b. In general, use the print format DOCTRKPF.PF, which has the full bibliographic citation, any "availability," and the major tracking fields. In most instances, this print format will identify whether the document is in DOCUMENT and saves time in dupchecking.

c. If the full record is needed to clarify whether or not the document is in DOCUMENT, use the print format, DOCRD2PF.PF.

d. For Design Documents, it is generally sufficient to dupcheck the Project Number, the Bibtype (as shown above), and, if necessary, the Date of Publication (B630), and/or some combination of them.

e. For Evaluations, dupcheck on the same fields as indicated in Item d., and/or some combination of them. If the document is not an ES or a PES, it may also be necessary to check it on Title, Author, Institution Name or Code, or a combination of these.

f. In the case of Technicals it is usually necessary to check, in addition to Project Number, Bibtype, and Date of Publication, the following fields: Title (B230), Author (B210), and Contractor/Institution (B221 or B224). It should be emphasized that the lack of Document Title and Document Author fields on the M/RM data bases is a major obstacle to dupchecking technical documents. (Remember, Titl1 and Titl2 on the M/RM data bases refer to the PROJECT TITLE, not to the DOCUMENT TITLE.)

g. If the document is a duplicate

- and there is currently a DOCUMENT DOCID, enter the following note both on the printout and on the Bureau Record (ANOTE, P500): "IN DOCRD AS PD-A..-..."
- and the DOCID on DOCUMENT is the M/RM DOCID, enter the following note on the printout and on the Bureau record (ANOTE, P500): "IN DOCRD AS PD-B..-..., PD-C..-..., PD-W..-..." (whatever the M/RM Docid is).

All documents found to be duplicates are left in the M/RM box.

h. If the document is not a duplicate, it will have to be evaluated for possible retrieval according to the criteria presented in Section C below. This evaluation can be performed either immediately after dupchecking the individual document, or after having first dupchecked all the documents in a given set and having set aside all those which are not duplicates.

i. If there is a doubt about the document, leave it in the M/RM boxes. A retrospective check by Acquisitions and Abstracting will determine those that need to be acquired.

3. Difficulties Encountered in Dupchecking

The strategies described above have certain limitations, however.

a. Besides the fact that Bibtypes for the M/RM data bases differ from those on DOCUMENT, there is some inconsistency of usage even among the various M/RM data bases. However, they are generally correlative.

b. Document collation is recorded by number of frames on the M/RM data bases, whereas in DOCUMENT the collation usually indicates preface page numbers, the number of pages in the body of the text, and the number of appendices, rather than exact page numbers.

c. Some documents in the M/RM files may be incomplete. While missing pages are indicated in B810 and D550 in DOCUMENT, no indication of this occurs in the M/RM records.

d. The M/RM records occasionally assign an incorrect Project Number to a document.

e. Some documents are duplicated in the R/RM records, and the same document may be in DOCUMENT with an earlier R/RM DOCID.

f. Some M/RM documents are bibtyped incorrectly.

g. M/RM has a practice of filming more than one document on one microfiche. For example, if five reports are filmed as a batch, three may already be on the DIS, and two may be needed for the DIS.

C. Assessment and Retrieval

1. Purpose of the Activity

As noted above, dupchecking is only a preliminary exercise aimed at weeding out documents obviously unnecessary for DIS purposes. Once completed, however, dupchecking gives way to the most difficult but also the most important activity of entire process considered in these guidelines: retrieving M/RM Design, Evaluation, and Technical Documents for inclusion on DOCUMENT.

2. Design Documents

Of the three types of documents to be retrieved for DOCUMENT, the most important -- and often most difficult to evaluate -- is the Project Design Document.

a. Categories of A.I.D. Design Documents

A.I.D. Design Documents can be classified into three basic categories: Priority, Secondary, and Tertiary.

Priority Design Documents include:

Project Paper
PAAD
Grant or Contract (where comprehensive; see below)
Housing Guaranty
Approved Proposal

Secondary Design Documents include:

Action Memo/Project Authorization
Project Implementation Order/Technical Services (PIO/T)

Tertiary Design Documents

Grant or Contract (non-comprehensive)

A comprehensive Grant/Contract is one which describes the entire project or subproject authorized by A.I.D., not just a part of it. Government-to-Government Grants (Pro-Ags, DIS Bibtype 38) are virtually always comprehensive. On the other hand, Grants to PVOs and other non-governmental organizations (DIS Bibtype 81) are sometimes comprehensive, sometimes not.

N.B. The activity described in a non-comprehensive Grant/Contract is unnumbered, that is, lacks a project/subproject number of its own, being governed by the number of the project or subproject number of which it is a part.

b. Retrieving Design Documents

1. All priority Design Documents which are not already on the DIS are to be retrieved, even if not needed for abstracting, provided the document is the original Design Document.

Also to be retrieved, whenever they are found, are two historical Design Document types: Non-Capital Assistance Project Proposal (PROP) (DIS Bibtype 43) and Loan Paper/Capital Assistance Paper (CAP) (DIS Bibtype 57). Only the original version of priority Design Documents are automatically retrieved, however. For amendments, see 3 below.

2. Retrieve secondary Design Documents only when these are needed for abstracting.

To determine whether a secondary Design Document is needed for abstracting, determine

whether or not a priority Design Document for the project currently exists on DOCUMENT and whether it has already been abstracted or is at least in the abstracting queue.

-- If the answer to BOTH questions is YES, do NOT retrieve the M/RM document.

-- If the answer to EITHER question is NO, RETRIEVE the document.

There is one exception to the above-stated rule. Secondary Design Documents are to be retrieved, even if not needed or suitable for abstracting, when they represent the only available document on a project.

3. Retrieve Grant or Project Paper/PAAD amendments if they are substantive. Do NOT retrieve non-substantive amendments, even though such amendments are added to the DIS when acquired through distribution.

A substantive amendment is defined as one which changes the design, title, number, and/or adds a new activity to the project.

A non-substantive amendment is defined as one which changes only the scheduling, Project Completion Assistance Date (PACD), and/or funding of a project or program.

By the nature of ESF projects, PAAD amendments are considered substantive if they: (1) notably increase program funding, or (2) change the conditionality Conditions Precedent, Covenants) attached by A.I.D. to the disbursement of funds.

4. Tertiary Design Documents

Tertiary Design Documents fall into one of three categories:

(1) grants or contracts under umbrella projects (projects which provide funds to numerous organizations, e.g., Private Voluntary Organizations (PVOs), research institutes, universities, etc., under a generic project title;

(2) grants or contracts with host country or U.S. institutions for a component or part of a regular development assistance or ESF project; and

(3) grants or contracts provided under Program Development and Support (PD&S) projects. PD&S projects are not really projects, but rather mechanisms for funding various project- and program-related support activities.

The first kind of Tertiary Design Documents is always to be retrieved. The second and third types are retrieved only when the activity in question is substantive in in nature. Determination of what is "substantive" in this context is not easy. For example, shortness of duration (e.g., a

few months) is a fairly sure sign that the activity is not substantive, but a low funding level (e.g., under $50,000) is not. Again, most activities funded under PD&S are non-substantive (e.g., technical consultations, seminars, etc.), but some are substantive, e.g., a PVO activity. All in all, determination of what is substantive and what is not requires experience and seasoned judgement. For this reason, those just beginning to engage in the present exercise are advised to consider the second and third types of Tertiary Design Documents as uncertain and to seek a clarification from Acquisitions or Abstracting.

3. Retrieving Evaluations

In general, retrieve all evaluations which correspond to DIS Bibtypes 15, 17, 18, and 68. Also retrieve, if found, the two historical DIS evaluation Bibtypes - PARs (DIS Bibtype 10) and PERs (DIS Bibtype 14).

NOTES: On SNTRD, there is a rating scale type of evaluation which awards points. This type of document is never added to DOCUMENT.

Audits of programs, projects, and activities are added to the DIS; except in the case of PVOs, however, audits of individuals and/or corporate entities are never added to the DIS.

4. Retrieving Technicals

In general, retrieve all documents in M/RM Bibtypes 81 and 89 which correspond to the DIS Technical Report BIBtypes listed above (Section I 3b, p. 5).

NOTE: If a document needed for the DIS is extracted from a batch of documents which all have the same Docid, attach the form shown in Exhibit ....# to the document extracted. This instructs the cataloguers to have the document refilmed and to enter the following ANOTE: "PAGES 4-43 IN DOCRD AS PD-B..-..."

5. Making Sure the Document is Approved and Complete

Approval (Design Documents Only).

Only Design Documents which have been approved by the pertinent A.I.D. authority are suitable for retrieval and inclusion in the DIS. The common indication of the approved status of a Project Paper or a Grant is a dated signature.

A proposal is generally considered approved only when attached to a grant or similar document.

Complete: Retrieve only complete documents. In particular, make sure that original Grants include a section (referred to on the opening page of the Grant and contained in an Annex) entitled Project (Program) Description or the like. Some grants in the M/RM data bases lack

this Annex, making the document useless for DIS purposes.

6. Annotating the Printout and Modifying the R/RM record.

a. If the document is needed for the DIS, mark the printout "FOR DOCRD" with the date the printout is checked. The Cataloguers will enter "IN DOCRD" in the ANOTE Field of the Bureau record when they catalog the document.

b. If a document needed for the DIS is extracted from a batch of documents which all have the same Docid, attach the form shown in Exhibit ....# to the document extracted. This form instructs the cataloguers to have the document refilmed and to enter the following ANOTE: "PAGES 4-43 IN DOCRD AS PD-B..-..." (ANOTE or P500 is a field on the R/RM data bases for Acquisition notes showing that particular Bureau records have been reviewed and what the decision in regard to use for the DIS was.)

D. Entering Statistics For Dupchecking and Retrieval

Enter statistics for both duplicates and acquired documents and on the official Acquisitions tally sheet under the appropriate Bureau in the box marked "GeoB." These figures are used to compile the monthly, quarterly, and annual statistics for Acquisitions.

ANNEX III: Non-A.I.D. Acquisitions

III.1 Non-AID Documents and Serials

III.2 Publisher Authority File (KPUB)

III.3 Serials Data Base (SERRD)

PURPOSE. The purpose of the SERRD data base is to track journal and periodical subscriptions received by the DISC. SERRD joins the KPUB data base.

Data elements and entry guidelines:
Internal Sequence Number (ISN) ISN
Unique number automatically assigned to each record by MINISIS.

Location/Call Number . . . . . (A120) LOCALL

Subfielded field to indicate location of title and call number (if applicable).

A121 Location LOCAT
A122 Call Number CALLNO

Holdings . . . . . (A130) HOLDNG

Field for indicating retention periods or other instructions.

Example: Retain for 2 years
Discard after 6 months

Publisher Code . . . . . (A450) PUBC

Numeric code that is retrieved from the KPUB file which lists the publisher's name, city, state, phone, etc. (When entering a new publisher enter a new code and then a "C" to create a new record. Then exit KPUB. To end say "next" or "exit", this will put you back into SERRD automatically.)

Example: 64 (Publisher is Gale Research Co.)

Serial Title . . . . . (B410) TITLES

Journal title is entered in this field. Titles are entered in upper/lower case.

Example: Africa Report

Title History . . . . . (B420) HISTRY

Subfielded field to record preceding or succeeding title changes.

B421 Old Title	OLD
B422 New Title	NEW

ISSN . . . . . (B430) ISSN

The International Standard Serial Number is entered when known. Example: 0161-9836

Frequency (Full Word) . . . . . (B440) FREQ

Field used to indicate frequency of publication, when known. Abbreviations are used to capture information.

Enter:

A	annual
SA	semi-annual
TQ	tri-quarterly
Q	quarterly
BM	bi-monthly
M	monthly
SM	semi-monthly
BW	bi-weekly
WK	weekly
D	daily
IR	irregular

Unit Price . . . . . (B450) PRICE

Price per subscription period. Dollar signs are not entered. Example: 32.00

Total Price . . . . . (B460)

Total price determined by number of copies received.

Copies . . . . . (B470) COPIES

Enter number of copies received.

Example: 2 etc.

ORD Date Start . . . . . (F200) START

Subscription start date is entered in YYYY/MM/DD format. Example: 1985/01/01

(Subscription begins Jan. 1, 1985)

ORD Date End . . . . . (F210) END

Subscription end date is entered in YYYY/MM/DD format. Example: 1985/12/31

(Subscription ends Dec. 31, 1985)

Volume . . . . . (F220) VOLUME

Volume covered by subscription is entered.
Example: 32

Check Number . . . . . (F230) CHECK

Check number for payment against current subscription.
Example: 284

Date Paid . . . . . (F240) PDATE

Date check is issued for payment. Enter in YYMMDD format. Example: 831030

Vendor . . . . . (F250) VENDOR

Enter vendor with whom subscription is held. If subscription is ordered directly with the publisher, enter the word "direct." Do not re-enter publisher name in this field.

Example:
Ebsco
Faxon
Direct

Notes . . . . . (F900) NOTES

Field to capture miscellaneous notes pertaining to title.

Scan . . . . . (S100) SCAN

Field to capture in which of four phases this journal would be scanned, when a current awareness service is established and operational.

Enter values 1, 2, 3, or 4, ranked in descending order.

Routing Code . . . . . (S120) ROUTE

Planned future field to implement automatic routing.

Subject Code . . . . . (S140) SUBJCD

Future field to assign subject codes to titles for the purpose of generating subject lists of journals received.

Descriptors . . . . . (S160) DESCR

Future field to capture thesaurus subject descriptors for journal titles for the purpose of producing detailed lists by subject of journals received.

Date Entered . . . . . (D610) DATEEN

Records the date the record was initialized on MINISIS. The date is supplied when using the ENTRY processor by typing ++1. Enter in YYYY/MM/DD format.

Example: 1985/04/23

Date Request Received . . . . . (A760) REQREC

Field indicates the date the request for a subscription is received. Enter in YYMMDD format.

Example: 850211

Order Date . . . . . (A770) ORDATE

Documents the date the purchase order form is sent to the publisher. Enter in YYMMDD format.

Purchase Order Number . . . . . (A440) ORDNO

Unique number assigned to each purchase order form for one or more subscription orders with the same publisher.

Example: AID/DISC-S-YY-NNN

Issues Received . . . . . (A500) ISSUE

Cites periodicals received following a claim request.

Date Claimed . . . . . (A510) DATCLM

Documents the date delinquent or missing issues are claimed. Enter in YYMMDD format.

Example: 850304

Date Claim Received . . . . . (A520) CLMREC

Supplies the date the requested periodicals are received. Enter in YYMMDD format.

Vendor Order Number . . . . . (A530) VENDNO

Title number supplied by the vendor. Example: 213462 (Faxon)

Status . . . . . (S170) STATUS

Subfielded field used by AID Library.
S171 AID/Non-AID
S172 Currency
S173 OCLC

Print formats available:

RENEWPF.PUB - Default print format.
Contains all fields used to track current subscription and renewal information excluding publisher address information.

SERPF.PF - Use this format to create title lists

VSERPF.PF - Use this format for title lists using computed values. Includes frequency, price, title and vendor.

STITLE.PF - Title and holdings information.

III.4 Commercial/Trade Publications Data Base (CATRD and CATALOG) CATRD Entry

Instructions

Order slips or publishers announcements are received as notification. These items are entered into the CATRD data base. (CATALOG is a data subset of CATRD and joins CATRD with KPUB.)

To enter:

1) Select Entry processor
2) Select Data Base CATRD
3) Enter record as follows:

Publisher Code = Get publisher code from the KPUB file and enter. If new, assign next highest number. Enter new publisher in Ksam file, i.e., publisher name, city, state, phone, etc. Then exit KPUB. To end say next or exit, this will put you back into CATRD automatically.

Next, reenter new publisher code. This time the data base will accept the publisher code and continue to create the record.
Notes:
ISN & PUBL - put ISN and publisher code on order slip.

All orders must have written approval before a purchase order can be created.

2. General catagories of orders include the following: books, serials, and miscellaneous items. The codes used for payment of invoices are respectively B, S, O, and M.

3. All new orders must be checked for duplication on CATRD and DOCRD. Any order with a publication date of 1985 on back must also be checked against the DOCRD database, which is available as a printout.

4. A record for every title must be created in CATRD (non-serial commercial publications and miscellaneous items) and SERIALS (serials, i.e. journal etc.) databases either in entry or by reusing a record in modify. Items, found to be A.I.D. supported, are deleted from CATRD and entered in the DOCRD database.

5. A publisher code must be assigned (A450 field) from existing codes or added to the publisher database KPUB and the new number used. Since the KPUB database is linked with the CATRD database, the entry of new publisher codes can be achieved without having to exit out of the CATRD database. Entry directly onto the KPUB database is the other option.

6. A purchase order number (A440 field) is to be used on all orders on CATRD and SERRD databases. The purchase order number will allow for a grouping of titles, being purchased from the same publisher, to be printed on one purchase order.

The basic format for purchase orders are:

CATRD: AID/DISC-YY-NNN
SERIALS: AID/DISC-S-YY-NNN

Example: AID/DISC-93-15

7. Create each record in either entry or modify (if re-using an isn) and supply as many fields of information as possible. The most essential fields are listed below:

1. Title (B230)
2. Quantity (D761)
3. ISBN(books) (B660), ISSN(serials) (B430)
4. Author(s) (B210)
5. Price (B470)
6. Purchase order number ((A440)
7. Publisher code (A450)

8. Once all publication(s) have been entered, making sure the words "ON ORDER" are placed in the availability field (B810) as well as the word "Ord" in the B410 field, a purchase order is made by creating a hitfile in query and saved under the prespecified name(s):

1. CATRD = ordpip, ordwid, ordpop
2. SERIALS = serord

Example: save ordpip

9. Once the query has been saved as specified above, one exits out of query and "submits" the file created under the following pre-specified name(s):

1. CATRD = prchform
2. SERIALS = serlform

Example: submit prchform

A three-part purchase order will then be created and run off by the printer operator.

10. The purchase order form is divided into its three component parts and the first part is attached to the original authorized order. The other two parts are what is sent to the publisher with any supplemental forms, etc., necessary. Along with the purchase order, payment may be sent. In order to receive a check, a request form is sent along with all documentation pertaining to the order for approval and the subsequent issuance of a check. Upon receipt of the check, the order is mailed to the publisher.

11. The check-in procedure is as follows: upon receipt of a document, add the date received field (A780), make any necessary price corrections in the price field (B470), change the availability field statement "ON ORDER" to "AVAILABLE IN WID OFFICE" or "AVAILABLE IN R&D/POP OFFICE".

12. If the item(s) ordered were not pre-paid, proceed with the instructions for procuring a check in guideline number 10. Add the check number to the documents' citation, and attach a copy to the paperwork for the document. File the paperwork, by publisher name, in the appropriate completed file folder.

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3.0 Cataloging

3.1 General Comments

The guidelines and standards stated here control the entry and modification of the data bases and their user-friendly versions: DOCRD/DOCUMENT; CATRD/CATALOG; INVRD/INV/AIDHOC; INSTDS/INST, which comprise the DEVELOPMENT INFORMATION SYSTEM OF THE AGENCY FOR INTERNATIONAL DEVELOPMENT (DIS) under PPC/POL/CDIE/DI's portfolio. There are many recommended changes, clarifications, and issues raised in this version of the manual. Annexes 3A and 3B detail the reasons for requesting approval of these changes. They are mandated by two major factors: the beginning of **electronic document management** and the **anticipated increase in documents as a result of USAID closings. [See Annex 3C for current procedures governing electronic documents and proposed use of MINISIS full-text field in Version H.)**

3.1.1 Compatibility with the DEVSIS Model

Record structure, including field names and tags, is based on the **DEVSIS** model described in Morin-Labatut and Sly (Information Sciences Division, **International Development Research Centre (IDRC)**; Recommended Methods for Development Information Systems, Volume 1: Manual for the Preparation of Records in Development Information Systems and Volume 2: Guidelines for the Building of Authority Files in Development -Information Systems, 1982, ISBN 0-88936-354-4 and ISBN 0-88936-450-8; and on The Anglo-American Cataloguing Rules II (AACR II), 2nd ed., 1988 rev. ed., edited by Michael Gorman and Paul Winkler, **American Library Association (ALA).** Record format is modified when necessary to allow production of CD-DIS and when authorized and directed by USAID to meet specified needs.

Other sources are used in the preparation of records, particularly to verify institution names and addresses. These include World of Learning, online **Library of Congress OCLC-MARC** searches, Encyclopedia of Associations, Encyclopedia of Associations : International Organizations, Research Centers Directory, etc. Other DIS data bases are used to find or verify contract numbers, contractor names, project numbers, etc., e.g., PRJSRD, CIMSRD, and COORSRD. To verify institutions, historical A.I.D. organizational directories are consulted. Also, INVRD/AIDHOC records are reviewed for institution names. Verification of project numbers is based on PROJAUTH and the APDMS databases (PRJSRD, AFRBRD, ASIARD, LACRD, and SNTRD).

Certain of the **DEVSIS** fields were applicable in concept but their structure and data entry guidelines needed to be redefined for the A.I.D. application. Field tags beginning with the letters **"D"** are specific to the **A.I.D./DISC** (and its predecessor A.I.D./DISC [Development Information Handling Facility]) DEVELOPMENT INFORMATION SYSTEM (DIS) data base only.

3.1.2 DOCUMENT Data Base Structure

The **DOCUMENT** database is a **MINISIS** data submodel made up of the following components.

Relational Definitions (RDs) Relational Definitions (RD's):

DOCRD Document records, the root of the **DOCUMENT** data base data submodel.

DOCABST Document abstracts.

INST Institution authority file. **KSAM** format. Decodes institution authority codes.

INSTB22,
INSTB32 Redefinitions of **INST**.
INSTB61

BIBTYPE Bibliographic type decode file. **KSAM** format.

AIDGEO A.I.D. geographic decode file. **KSAM** format.

Join rules:

ISN	(DOCRD) < + ISN (DOCABST)
B224/INSTAC	(DOCRD) < * B224/INSTAC (INSTB22)
B324/INSGAC	(DOCRD) < * B324/INSGAC (INSTB32)
B614/PUBAC	(DOCRD) < * B614/PUBAC (INSTB61)
D010/BIBTYP	(DOCRD) < + D010/BIBTYP (BIBTYPE)
C100/GEOCD	(DOCRD) < + C100/GEOCD (AIDGEO)

INVRD Records of Technical Reports with publication dates of five years or older; Progress Reports; Trip Reports. It also includes Program Documents, although some of these documents have been specifically added to **DOCRD** to provide the context in which **USAID** activities occur and to show **USAID's** trends and patterns. It is the root of the **INVENTORY (INV)** data base data sub-model and for the **sub-data base for the Historical Collection (HC), AIDHOC.**

AIDHOC Consists of a subset of **INVRD**, and contains records of documents originally in the **A.I.D./W/DIC** in 1986 and subsequently stored in Offsite Storage, maintained by the Research and Reference Staff (R&RS). [In 1986, the **DIC** was known as the **A.I.D. Library (AIDL)**.]

3.1.3 CATALOG Data Base Structure

The **CATALOG** data base also is a **MINISIS** data submodel and is made up of the following components.

Relational Definitions (RDs): Relational Definitions (RD's):

CATRD Records of non-A.I.D. documents in the **Development Information Center (A.I.D./W/DIC)**, which are now controlled by the **Integrated Library System (ILS)** and created from **OCLC-MARC** downloads and fed by diskette automatically to maintain **CATRD. CATRD** is also still used for a few purchases for the **A.I.D./W/DIC**, mainly CD-ROMS, and for **DISC** purchases. It is the root of the **CATALOG** data base data submodel.

INST Institution authority file. **KSAM** format. Decodes institution authority codes.

INSTB22,
INSTB32, Redefinitions of **INST**.
INSTB61

BIBTYPE Bibliographic type decode file. **KSAM** format.

Join Rules:

B224/INSTAC (CATRD) <* B224/INSTAC (INSTB22)
B324/INSGAG (CATRD) <* B324/INSGAG (INSTB32)
B614/PUBAC (CATRD) <* B614/PUBAC (INSTB61)
D010/BIBTYP (CATRD) <+ D010/BIBTYP (BIBTYPE)

3.1.4 Institution Authority File

The institution authority file is maintained through the data submodel **INSTDS**. See **Section 7** for details.

Unlike the **IDRC** model, sub-bodies are entered in the authority file, each sub-body receiving its own record.

Institution authority codes are used in three fields in the document database: Institution - Documentary Unit (**B220**), Institution - Generic Document (**B320**) *[Recommend change as detailed under this section]*, and Publisher (**B610**) *[Recommend change as detailed below]*.

CRITERIA FOR ENTRY OF DOCUMENTS INTO DOCRD:

Enter all:

- Design Documents
- Evaluations
- Technical and Research Reports published within the last five (5) years
- Program and Policy documents published within the last five (5) years and any deemed significant for understanding trends and patterns in the agency or which set the context of USAID's activities at any time.

Specifically, the following Bibtype Categories should always be entered into DOCRD:

Policy/Program/Sector/Strategy Documents:

- 09 Congressional Testimony and Hearings; Congressional Legislation; Executive Task Force and Commission Report
- 16 Sector Assessment
- 24 Policy Paper
- 26 Environmental Assessment
- 39 Congressional Presentation
- 94 Action Plan
- 95 Country Development Strategy Statement; Country Program Strategic Plan Program Objectives Document; Strategic Objectives Statement; Central Program Strategy Statement; Regional Program Strategy Statement; Limited Program Strategy Statement, etc.

Approved Design Document:

- 02 Approved Proposal
- 36 Development/Extended Risk Guaranty Paper (DEV/EXT) [Historical]
- 37 Loan Agreement
- 38 Grant Agreement (PROAG - between USAID and a host-country government
- 42 Project Paper or PP Amendment; Project Memorandum
- 43 Non-Capital Assistance Project Proposal (PROP) or PROP Amendment [Historical]
- 46 Housing Guaranty Program Document (HGPD) or HGPD Amendment
- 47 Program Assistance Approval Document (PAAD) or PAAD Amendment
- 48 Investment Proposal (IP) or IP Amendment
- 48 Private Enterprise Paper (PEP) or PEP Amendment
- 49 Not Elsewhere Classified Design Document (NECDD)
- 50 Action Memo
- 50 Authorization or Authorization Amendment
- 50 Activity Approval Memorandum

- 57 Loan Paper/Capital Assistance Paper (CAP) [Historical]
- 81 USAID Contract, USAID Cooperative Agreement, USAID Grant Agreement (PVO)

Preliminary Pre-Approval Design Documents:

- 01 Project Identification Document (PID)
- 20 Concept Paper (when for a specific project)
- 22 Program Assistance Initial Document/Paper (PAID/PAIP);
  Program Assistance Review Document (PARD)
- 27 Project Design/Implementation Guide/Work Plan
- 29 Activity Identification Memorandum (AIM) [Afghanistan]
  Investment Opportunity Proposal (IOP)
  Project Concept Paper (PCP)
- 41 Feasibility Study

All of the above documents must be signed, dated, and approved.

Evaluations:

- 10 Project Appraisal Report (PAR) [Historical]
- 14 Project Evaluation Report (PER) [Historical]
- 15 Evaluation Summary (ES)
- 15 Project Evaluation Summary (PES)
- 17 Special Evaluation
- 18 Audit
- 19 Non-USAID Audit
- 19 Non-USAID Evaluation
- 68 Final Evaluation

3.2 CATALOG and DOCUMENT Data Bases Data Elements and Cataloguing Guidelines

INTERNAL SEQUENCE NUMBER: ISN

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Unique number assigned to each record automatically by **MINISIS**. The **ISN** is one of the points of direct access to a record.

DOCUMENT IDENTIFICATION NUMBER: A000/DOCID

Data Base: DOCUMENT
Non-repeating, fast access key (field extraction, strip non-alphanumeric characters, invert online), required field, max length 14. The first two letters of the **DOCID** are inverted offline onto the

B-tree of field **D010/BIBTYP**. This allows for quicker retrieval by broad document type, i.e. any **"PD"** or **"PN"** document.

Unique number assigned to each document. Primary record identifier on database. Also serves as microfiche number. Used for ordering documents.

Format: PP-AAA-NNN-S

PP = two-letter prefix
AAA = three-letters, sequential
NNN = sequential number
S = single letter optional suffix

Example: PN-AAA-001

Valid prefixes and their meanings:

PD: This prefix is assigned to A.I.D. programmatic documentation, i.e. documents used for project/program design, evaluation, and management.

PN: This prefix is assigned to research and development documents funded by A.I.D. Most are authored and issued by A.I.D.-funded contractors and grantees.

TN: Publications produced by **PPC/POL/CDIE/DI**.

PC: Commercially published documents and documents from **non-A.I.D.** sources.

The **"X"** prefix:

Some documents generate more than one record on the system, e.g., an **Evaluation Summary (ES)** with an attached special evaluation, or a compendium of reports. The document on top (as with an **ES**) or the document as a whole (as with a compendium) are assigned regular DOCID numbers using the above prefixes. The analytics or attachment records are assigned the same **DOCID** except that the initial letter is changed to an **"X"**. In addition, a single letter suffix is added to the end of the **DOCID** to distinguish between multiple analytics or attachments.

Example 1:

An **ES** has a **DOCID** of **PD-AAG-338**; a special evaluation is attached. A **DOCID** of **XD-AAG-338-A** is assigned to the attachment.

Example 2:

A compendium of three reports is assigned a **DOCID** of **PD-AAM-043**. The reports are assigned numbers, **XD-AAM-043-A, XD-AAM-043-B,** and **XD-AAM-043-C**.

As a general principle, microfiche headers will only contain regular **DOCIDs**. If the documentary unit is to be microfilmed separately, it should have a regular **DOCID**. If the documentary unit is an analytic or an attachment which is to be filmed as part of a larger document, the larger document receives a regular **DOCID** (for the microfiche header) and the analytics/attachments receive the **"X"** type of prefix.

Note: Previously, **PN** documents were put on **RANDD** and **PD** documents were put on **BREF**.

Note: **DOCID** numbers were entered on **BREF** with a suffix indicating where on the microfiche the document started. For example, **PD-AAM-043-B1** indicates that the document in question starts in **Row B, Column 1** of microfiche **PD-AAM-043**.

Note: The convention of using **"X,"** as described above, and the **PC** prefix were both created in April 1982.

COLLECTION DESIGNATOR: A010/COLDES

Data Base: INVRD/INVENTORY/AIDHOC

Non-repeating, max length 2.

Required field to identify **A.I.D. Historical Collection materials. Enter "HC."**

A010: HC

RESEQUENCED RECORD NUMBER: A100/RESNUM

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, max length 10.

A sequential number assigned to a subset of records selected for publication in a printed index. Number is generated by the **RENUM** processor.

Note: This field exists and contains data, but is not currently being used.

LOCAL DIC CODE: A110/DIC

Data Base: CATALOG, DOCUMENT.

Repeating, max length 10.

Records the code of the **Development Information Center (A.I.D./W/DIC)**, in which a copy of the document is located.

Example 1:

The document is located in the **A.I.D./W/DIC**

A110: AIDL

Example 2:

The Women In Development (WID) Resource Center houses the document.

A110: WID

Note: The **WID** collection is now included in the **A.I.D./W/DIC** holdings, but carries a **WID** designation.

The **"WID"** designation indicates that the document is part of the Women In Development Resource Center Collection, which has been interfiled within the AID/W/DIC collection but marked to show that it is part of the WID collection or has been specially ordered for the G/WID Office by the DISC.

The document is part of a special collection **purchased for the G/POP/IT Office by the DISC.**

Example 3:

A110: G/POP/IT (Older documents are designated RD/POP/IT.)

DIC CALL NUMBER: A120/CALLNO

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Non-repeating, max length 35.

This field is for the **Library of Congress (LC) OCLC-MARC** classification number and succeeds the previously used **Dewey Decimal** classification number assigned to those documents that are shelved in the **A.I.D./W/DIC**.

Example:

A120: HD 9254.C32 C37 1980 (for Documents that are newly acquired or have been reclassified to the **LC** system)

A120: 338.09.I42 (for Documents that have not yet been reclassified and are still under the **Dewey Decimal** system.

This field is for the Library of Congress or Dewey decimal number assigned to those documents that will be shelved in the **A.I.D./W/DIC, or G/WID, or G/POP/IT Offices.** Cataloging for the **Africa Bureau Information Center (ABIC) and the Center for Trade and Investment Services (CTIS)** is being done onsite and is not part of the **DISC** responsibility.

Note: **A120/CALLNO** is no longer a field in **DOCUMENT** because the **A.I.D./W/DIC ILS** combines both **CATALOG and DOCUMENT** records in a single data base.

BIBLIOGRAPHIC LEVEL: A130/BIBLEV

Data Base: CATALOG, DOCUMENT

Non-repeating, subfielded, max length 3.

Subfields -

DOCUMENTARY UNIT LEVEL: A131/LEVDU
GENERIC DOCUMENT LEVEL: A132/LEVGD

Indicates the bibliographic level of the documentary unit being analyzed and, if applicable, the bibliographic level(s) of the generic document of which it is a part. The bibliographic level indicators also facilitate conversion to **UNISIST-format** data bases.

The following bibliographic levels are defined:

ANALYTIC: Relates to an item which is not issued separately, but as part of a larger bibliographic entity, e.g. chapter in a book, article in a periodical, section in a report, etc.

MONOGRAPH: Relates to an item issued as a single physical piece which is complete in its own right, e.g. booklet, book, report, one part of a multivolume work bearing its own title, etc.

COLLECTIVE: Relates to an item comprised of two or more physical pieces issued at once or over a predetermined period of time, e.g. multivolume report, multivolume encyclopedia, etc. It is also an item issued as a single volume

that is a collection of writings by different authors, usually an edited work or a proceedings.

SERIAL: Relates to a number of physical pieces produced over an indefinite period of time, and bearing a common title, e.g. a periodical, monographic series, annual report, yearbook, newspaper, etc.

DOCUMENTARY UNIT LEVEL: A131/LEVDU

Data Base: CATALOG, DOCUMENT

Non-repeating, subfield of **A130**, required field, max length 1.

Indicates bibliographic level of the documentary unit being analyzed.

Enter **A, M, C, S.**

Note: The level of the documentary unit is **"S"** when a record is being prepared for the entire serial, rather than for an individual part of it. For use in serials control.

Example 1:

The documentary unit is a report published as a single piece.
A131: M

Example 2:

The documentary unit is an edited collection of writings by different authors published as a single volume.

A131: C

GENERIC DOCUMENT LEVEL: A132/LEVGD

Data Base: CATALOG, DOCUMENT.

Non-repeating, subfield of **A130**, max length 2.

Indicates bibliographic level(s) of the generic document from which the documentary unit is extracted.

Enter **M, C, or S.**

Example 1:

The documentary unit is an article in a periodical.

A131: A
A132: S

Example 2:

The documentary unit is one volume of a two volume collection.

A131: M
A132: C

Example 3:

The documentary unit is a chapter from a monograph. The complete monograph, written by one person, is one issue in a monographic series.

A131: A
A132: MS

Example 4:

The documentary unit is a single volume of a collection and bears its own distinctive title. It is also part of a monographic series.

A131: M
A132: CS

Example 5:

The documentary unit is a chapter from a monograph which is one volume of a collection.

A131: A
A132: MC

Example 6:

The documentary unit is a chapter of an edited monograph.

A131: A
A132: M

Example 7:

The documentary unit is a report attached to an **ES**, the report has a separate title page and publication date.

A131: M
A132: (blank)
B820: Companion Document: PD-AAG-338

SECOND CALL NUMBER: A140/SECCAL

Data Base: CATALOG, DOCUMENT.

Non-repeating, max length 35.

When a record has two different call numbers the second is placed in this field.

Entry guidelines are the same as those in field **A120**.

Note: This practice of having the same book in two different call numbers has been generally discontinued. Where the library has both a Reference and a circulating copy, **A140** is still used. It was also used when the **A.I.D./W/DIC** provided documents for the onsite **PPC/CDIE/DI DIC** at New State and to designate **WID** collection items.

SECOND DIC LOCATION CODE: A150/SECDIC

Data Base: CATALOG, DOCUMENT.

Non-repeating, max length 10.

This field is for the code of the **DIC** for the document with the second call number.

Entry guidelines are the same as those in field **A110**.

Note: This field is no longer used because the facilities for which it was used are no longer in existence, and materials in those facilities have been included in the **DIC** holdings, which are controlled by the **ILS**.

PERSONAL AUTHOR - DOCUMENTARY UNIT: B210/AUTHOR

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Repeating, fast access key (field processing, strip diacriticals), max length 60.

Records names of persons responsible for the intellectual content of the documentary unit (authors, editors, compilers, etc.).

Select a maximum of two personal authors per documentary unit. When there are more than two authors, select the principal authors, if indicated, or else the first two mentioned. Enter "et al." in next repeat (the third occurrence) of the author field.

Do not select names of translators, illustrators, persons writing the introduction or preface, etc. Enter in order of appearance. Omit titles such as Dr., Mr., Professor.

Enter the full name, family name first, followed by a comma and a space, and the given name(s) or initial(s). Use the following abbreviations immediately after a comma and space for editors and compilers: ed., comp.

Examples: **Smith, Sarah E.**
Brown, A. E., ed.
Maxwell, George A., Jr.
Johnson, Sam H., III, comp.

When there is more than one family name, begin the entry with the last family name. Exception: Do not separate a hyphenated name or a name known to be a compound, as is the case with Spanish names.

Examples: **Diallo, Amadi Kane**
Massingue, Senta dos Santos
Ndong-Ondo,
Montenegro Galdamez, Maria
Abdul Quasim, Mohammed De
Hails, Patricia Avila Van
den Bos, James

When it is not possible to identify a family name, copy the full name, exactly as it appears on the documentary unit, without adding any punctuation.

For specific languages and language groups refer to **OCLC-MARC** and/or to **AACR II**.

INSTITUTION - DOCUMENTARY UNIT: B220/INST

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Repeating, subfielded, max length 290.

Subfields -

INSTITUTION DOCUMENTARY UNIT - NAME: B221/INSTNA
INSTITUTION DOCUMENTARY UNIT - AUTHORITY CODE: B224/INSTAC
INSTITUTION DOCUMENTARY UNIT - ROLE: B226/INSTRO

Field **B224**, authority code, points to the appropriate entry on the institution authority file. The **CATALOG** and **DOCUMENT** data bases decode **B224,** providing the institution name, city, and **ISO** country code. See **Section 7** for a complete description of these data elements.

Note: **IDRC** model recommends that the authority file contain only the name of the parent institution, with subordinate bodies being entered in subfield **B225** of the document record. On the **DIS**, the full institution name, including the sub-body, will be on the authority file.

Identifies the institution(s) which relate specifically to the documentary unit. This includes corporate authors and sponsoring institutions.

INSTITUTION DOCUMENTARY UNIT - NAME: B221/INSTNA

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT

Repeating, subfield, max length 240. Joins with institution authority file.

Nothing is entered in this field. Enter institutiton name in **INSTDS** in **I100.** This field is used for searching purposes only.

INSTITUTION DOCUMENTARY UNIT - CODE: B224/INSTAC

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Repeating, subfield of **B220**, fast access key (inverted onto same file as B324 and B614) *[Subject to change; see recommendations in ANNEXES 3A and 3B],* max length 6. Joins with institution authority file.

Contains the authority code of the appropriate record from the institution authority file.

INSTITUTION DOCUMENTARY UNIT - ROLE: B226/INSTRO

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Repeating, subfield of B220, max length 1.

Enter **"S"** for **"Sponsor"** in this subfield for institutions which provided financial support for the preparation of the documentary unit. If the sponsoring institution is also the corporate author, do not enter the **"S"**, leave the subfield blank.

Note: The **IDRC** model has the cataloger assign one of a possible six different roles to each institution, they connect with a **KSAM** decode file. The **DOCUMENT** data base will contain only the one role, **"S,"** to flag institutions which have a sponsoring role and are not corporate authors.

TITLE OF DOCUMENTARY UNIT: B230/TITLE

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC

Non-repeating, fast access key (word extraction, root name of stopword file - STP0, strip non-alphanumeric characters), required field, max length 375.

The title and subtitle of a documentary unit.

Select the title by which the documentary unit is most likely to be cited; this will usually be the most prominent title on the title page. Enter the title and subtitle exactly as it appears on the documentary unit, using the same order, wording, and spelling, with the following exceptions:

- Copy an inaccuracy or a misspelled word as it appears in the title. After the inaccuracy or misspelling enter "i.e." and then enter the correction within square brackets. Enter a missing letter or letters, number or numbers, in square brackets.

- Omit initial articles and capitalize the first significant word of the title. Enter all other words in the title in lower case, except for words that would normally be capitalized in the language involved, i.e. proper nouns in English, all nouns in German, etc. Retain articles when they form part of a name, e.g. "Los Angeles".

- Capitalize the first letter of all significant words in the names of institutions and conferences which appear in a title.

- When a subtitle is present, precede it by a space colon space. If it is followed by another noun phrase such as "amendment" then it is suggested that the cataloger separate the noun phrase from the subtitle with a colon. Other punctuation may be added, if needed for clarity, to the title or subtitle. Punctuation follows AACR2 guidelines.

- Represent dashes with a space hyphen space, e.g. Brackish water fisheries production project - Indonesia. This ensures that the words "project" and "Indonesia" are extracted as separate keys. (Entering "project--Indonesia" results in a single key "PROJECTINDONESIA".)

- Do not enter any end punctuation.

Special cases

Non-English titles

Enter the title in field **B230.** Translate the title into English and enter it into **B240,** Translated Title - English. See Section 5, Abstract Data Entry Guidelines, for how to enter diacritical marks.

Parallel titles in several languages

Select as the first parallel title the first title appearing on the document. Separate parallel titles with " = " and capitalize the first letter of each title.

Example 1:

The documentary unit is a second amendment to a project paper.

B230: Urban health delivery system : amendment no. 2

Example 2:

The documentary unit is an amendment to a project paper that has a project title with a subtitle.

B230: Nutrition, education field support : amendment

Example 3:

The title of the documentary unit is in English, French and Spanish.

B230: Director of contraceptives = Repertoire des contraceptifs = Guia de anticonceptivos

TRANSLATED TITLE - ENGLISH: B240/TITLET

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, fast access key (word extraction, root name of stopword file - **STP0,** strip non-alphanumeric characters, invert onto same file as field **B230**, Title of Documentary Unit), max length 375.

Provides English translation of the title of a documentary unit (field **B230**) written in another language.

Entry guidelines are the same as those in field **B230**.

[It is recommended that the following fields in the B310 to B340 categories be eliminated; that B410 and B420 be made repeating fields; and that all data in these fields be mapped to the B410/B420 Series fields, whose definition would be changed to include both series and generic documents. See ANNEXES 3A and 3B.]

PERSONAL AUTHOR - GENERIC DOCUMENT: B310/AUTGEN

Database: CATALOG, DOCUMENT.

Repeating, fast access key (inverted onto same file as B210, with same invertion criteria), max length 60.

Records the names of persons intellectually responsible for the content of the generic document from which the documentary unit has been extracted, i.e.

- author of monograph when documentary unit is a part of that monograph
- author of the collection when the documentary unit is a monograph of a contribution belonging to that collection

Entry guidelines are the same as those for field B210 (author name).

Name is not repeated in B310 if already entered as author of documentary unit (B210).

Example 1:

The documentary unit is a contribution by Michel D. Kingue of the UNDP entitled "UNDP multi-donor approach to river and Lanke Basin development in the Sahel". It

is extracted from a book by C.L. Joyce, "Towards U.S. policy on river basin development in the Sahel: proceedings".

Authors are identified as:

Author of documentary unit (B210): Kingue, Michel D.
Author of generic document (B310): Joyce, C.L.

Example 2:

The documentary unit entitled "Senegal" is a chapter from the book "Cooperatives ou autogestion: Senegal, Cuba, Tunisie". The author in both cases is G. Gagnon.

Author of documentary unit (B210):

Gagnon, G.

This is not repeated in field B310.

[It is recommended that the following fields be eliminated and the information in them be mapped to the b220 institution set. See Annexes 3A and 3B.]

INSTITUTION GENERIC DOCUMENT - NAME: B320/INSTG

Database: CATALOG, DOCUMENT.

Repeating, subfielded, max length 288.

Subfields -

INSTITUTION GENERIC DOCUMENT - NAME: B321/INSGNA
INSTITUTION GENERIC DOCUMENT - AUTHORITY CODE: B324/INSGAC
INSTITUTION GENERIC DOCUMENT - ROLE: B326/INSGSP

Field B324, authority code, points to the appropriate entry on the institution authority file. The document database DS decodes B224 providing the institution name, city, and ISO country code. See Section 7 for a complete description of these data elements.

Records institutions which can be identified as corporate authors of the monograph or collection from which the documentary unit has been extracted. Field B320 is also used to record institutions whose relationship to the monograph or collection is to provide financial support.

Corporate authors already entered in field B220 are not repeated. Follow entry guidelines for B220.

INSTITUTION GENERIC DOCUMENT - NAME: B321/INSGNA

Database: CATALOG, DOCUMENT.

Repeating, subfield of B320, max length 240. Joins with institution authority file.

Nothing is entered in this field. Enter institution name in INSTDS. This field is used for searching purposes only.

INSTITUTION GENERIC DOCUMENT - AUTHORITY CODE: B324/INSGAC

Database: CATALOG, DOCUMENT.

Repeating, subfield of B320, fast access key (inverted onto same file as B224 and B614), max length 6. Joins with institution authority file.

Contains the authority code of appropriate record from the institution authority file.

INSTITUTION GENERIC DOCUMENT - ROLE: B326/INSGSP

Database: CATALOG, DOCUMENT.

Repeating, subfield of B320, max length 1.

Enter "S" in this subfield for institutions which provided financial support for the preparation of the documentary unit. If the sponsoring institution is also the corporate author, do not enter the "S", leave the subfield blank.

Note: The IDRC model has the cataloger assign one of a possible six different roles to each institution, they connect with a KSAM decode file. The DOCUMENT database will contain only the one role, "S," to flag institutions which have a sponsoring role and are not corporate authors. *[It is recommended that this guideline be changed to add "G" for Generic Institution and "P" for Publisher since it is recommended that fields covering these kinds of institutions be mapped to existing fields. See ANNEXES 3A and 3B.]*

TITLE OF GENERIC DOCUMENT - (M/C): B330/TITLEG

Database: CATALOG, DOCUMENT.

Non-repeating, fast access key (inverted onto same file as B230, word extraction, root name of stopword file - STP0, strip non-alphanumeric characters), max length 375.

Records the title of the monograph or collection from which the documentary unit has been extracted.

When the documentary unit has been extracted from a serial, the title of the serial is not recorded in field B330 but in field B410.

Follow entry guidelines for field B230.

Example:

The documentary unit is a paper included in a workshop proceedings.

A131: A

A132: C

B230: On - farm trials in northwestern Syria : testing the feasibility of annual forage legumes as grazing and conserved feed

B330: Research methodology for livestock on - farm trials: proceedings of a workshop held at Aleppo, Syria, 25-28 March 1985

VOLUME/PART NUMBER - GENERIC DOCUMENT: B340/VOLCO

Database: CATALOG, DOCUMENT.

Non-repeating, max length 40.

Records the volume or part number of the generic title recorded in field B330, when the documentary unit is a monograph that is part of a collection.

Enter the volume or part number in English. Convert Roman numerals to Arabic. Use the following abbreviations:

Example 1:

The documentary unit is a monograph, "The Caribbean and issues of communication and development," which is volume 3 of the collection, "Latin American prospect for the '80s."

B230: Caribbean and issues of communcation and development

B330: Latin American prospects for the '80s B340: v. 3

[Recommended that generic information be entered into repeating B410/B420 fields, with revised and expanded definitions.]

Prefer:

B410: Latin American prospects for the '80s
B420: v. 3

Example 2:

The documentary unit is the monograph, "Planning model and macroeconomic policy issues," which is of the collection, "Essays on the Korean economy." It is also number 26 in the monographic series, "Studies on economic planning."

B230: Planning model and macroeconomic policy issues

B330: Essays on the Korean economy
B340: v. 1

[Recommended that generic information above for both collections and series be entered into repeating B410/B420 field, with revised and expanded definitions.]

Prefer:

B410: Essays on the Korean economy
B420: v. 1

and Repeating B410/420:

B410: Studies on economic planning
B420: no. 26

[Recommended that the following field be eliminated and that information in it currently be mapped to B820/ADATA:]

TITLE OF SERIES: B410/TITLES

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

[Recommended that B410 and B420 be redefined to include generic documents and be made repeating fields.]

Non-repeating, fast access key (inverted onto same file as B230, word extraction, root name of stopword file - **STP0,** strip non-alphanumeric characters), max length 375.

Records the title of the series of which the documentary unit is a part, e.g.

- the title of a periodical, yearbook, or newspaper from which an article has been extracted;

- the title of a monographic series of which an individual book, report, etc. is a part.

Definitions -

Serial: A publication issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. Serials are normally issued by the same publisher or organization, in a uniform style and format. Serials include periodicals, newspapers, annual reports, yearbooks, and monographic series.

Periodical: A serial issued at regular intervals, at least annually, where each issue contains separate articles, contributions, etc.

Monographic series:
A group of separate items issued in succession and related to one another by the fact that each bears, in addition to its own title, a common title applying to the group as a whole. Each issue in a monographic series has its own separate pagination. A mongraphic series differs from a collection in that it is intended to continue indefinitely.

Titles should be entered according to **OCLC-MARC or to AACR II.** Omit initial articles, and capitalize the first significant word. The remainder of the title is in lower case. Retain articles when they form part of a name, e.g. "Los Angeles".

If the title is a subseries (a series within a series, whether or not it has a dependent title) and both the series and the subseries are named in the title, give the series name first and follow with the name of the subseries. Separate the series from the subseries with a period and space.

Example:

A series named A.I.D. Spring Review of Land Reform with a subseries called Country Papers

B410: A.I.D. spring review of land reform : country papers

If the title is a generic word or phrase, not significant in itself, enter the name of the issuing body according to the following format:

Issuing institution : generic phrase

Example:

An economic report by Somali National Bank.

B410: Somali National Bank : economic report

Or, if the issuing body is a subordinate entity:

Subordinate entity : generic phrase

Example 1:

A bulletin by University of London's Institute of Education

B410: Institute of Education : bulletin

Example 2:

Working papers produced by McGill University's Centre for Developing-Area Studies

B410: McGill University, Centre for Developing - Area Studies : working papers

Reprints:

When the documentary unit is part of a reprint series, select the data relating to the original issue. Information pertaining to the reprinted publication may be recorded as a note in field B820.

Example 1:

An article originally published in Proceedings of the Royal Society of London is later issued as part of the monographic series, Ford Foundation Reprint.

B410: Proceedings of the Royal Society of London
B820: Ford Foundation Reprint

Exception: The reprint retains the pagination and physical lay-out of the original

publication, the only difference being it is issued a second time by a different organization. The reprint is considered a reproduction (such as a photocopy) and the data pertaining to the original is entered in field B410. The fact that the original was subsequently reissued as part of a reprint series may be recorded as a note in field B820.

Example 2:

An article was originally published on pages 85-96 in the journal Developing Economies. It is later reprinted as number 96 in the Reprint Series of the Department of Economics of the University of Windsor, without any change in pagination.

B410: Developing economies
B641: p. 85-96
B820: Reprinted in reprint series: University of Windsor, Dept. of Economics, no. 96

Exception: An article written for a journal. In that event, use the date of the journal publication, e.g.,

B620: May 1989
B630: 1989-05
B820: Original article, dated Dec 1988

VOLUME AND PART NUMBER - SERIAL: B420/VOLSER

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Non-repeating, max length 40.

Records the volume and issue or part number of a particular issue of a serial publication whose title has been entered in field B410. **[Recommended that the definition of this field be revised and expanded to cover Generic Documents also and that it be made a repeating field.]]**

Enter the volume and part number in English. Convert Roman numerals to Arabic. Use the following abbreviations:

volume:	**v. (followed by a space)**
number:	**no. (followed by a space)**
part:	**pt. (followed by a space)**
supplement:	**suppl. (followed by a space)**
chapter:	**ch. (followed by a space)**

Enter a space after a number.

Do not enter a space after a hyphen. When both a volume and issue number are used, follow the volume number by the issue number, separated by a comma.

Example 1:

The documentary unit is an article from the periodical, "Canadian Geographer," volume 13, number 3, 1977.

B410: Canadian geographer
B420: v. 13, no. 3

Example 2:

The documentary unit is volume V, part 1 of "Economia e Financas."

B410: Economia e financas
B420: v. 5, no. 1

Example 3:

The documentary unit is issue 10 in the "Current Report of the Australian Institute of International Affairs."

B410: Australian Institute of International Affairs : current report
B420: no. 10

Example 4:

The document is the "Boletin Tecnico" no.5 of the "Serie Tecnica," issued by the Centro Agronomico Tropical de Investigacion y Ensenanza.

B410: Centro Agronomico Tropical de Investigacion y Ensenanza : serie tecnica - - boletin tecnico
B420: no. 5

Example 5:

The documentary unit is number 19-20 in the series, "Cahiers Africains d'Administration Publique."

B410: Cahiers Africains d'Administration Publique
B420: no. 19-20

Example 6:

The documentary unit is a multivolume collection, "Approaches to Planning and Design of Health Care Facilities in Developing Areas." The individual volumes in this collection are numbered 29, 37, and 45 in the monographic series, "WHO Offset Publication."

B230: Approaches to planning and design of health care facilities in developing areas
B410: WHO offset publication
B420: no. 29, 37, 45

Example 7:

On title page of a PPC special evaluation: "Korean Potable Water System Project: Lessons from Experience"; A.I.D. Project Impact Evaluation Report No. 20".

B230: Korean potable water system project : lessons from experience
B410: A.I.D. project impact evaluation report
B420: no. 20

INTERNATIONAL STANDARD SERIAL NUMBER: B430/ISSN

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Non-repeating, max length 9.

Records the **International Standard Serial Number (ISSN)** which uniquely identifies the serial title entered in **B410.** The 8-character code is entered in two groups of 4 characters separated by a hyphen.

Examples:

B430: 0046-9963
B430: 0072-193X

LANGUAGES OF TEXT: B540/LANTEX [See ANNEX 3H.]

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, fast access key (word extraction, strip non-alphanumeric characters, invert online), required field, max length 25.

Identifies the language of the text of the document being analyzed. Enter the appropriate **ISO** language code.

If more than one language is used within the same physical document, enter the appropriate codes in alphabetical order, separated by a comma and space. If the translation is a separate document, enter only the language of the version in hand and cross-reference the other language version(s) in the **Ancillary Data Field, B820.**

Example 1:

A single physical document written in English and French.

B540: En, Fr

Example 2:

Document number PN-AAK-001 is the English version of a contractor report.
Document PN-AAK-002 is a Spanish translation of the report.

Document **PN-AAK-001:**

B540: En
B820: Spanish ed.: PN-AAK-002

Document **PN-AAK-002:**

B540: Es
B820: English ed.: PN-AAK-001

Do not enter languages in which only a summary or abstract of the text appears. Enter these languages in field B560, languages of summaries. *[Recommended that B560 be eliminated and that information in that field be mapped to B820.]*

LANGUAGES OF SUMMARIES: B560/LANSUM

Data Base: CATALOG, DOCUMENT.

Non-repeating, max length 25.

Indicates languages of any summaries or abstracts included in the documentary unit.

Enter the appropriate ISO code in alphabetical order, separated by a comma and a space.

Example:

A document is written in English with summaries in English, French, and Spanish.

B540: En
B560: En, Fr, Es

Prefer: B540: En
B820: Summaries in En, Fr, Es

Indicates languages of any summaries or abstracts included in the documentary unit.

Enter the appropriate ISO language codes in alphabetical order, separated by a comma and a space.

Example:

A document is written in English with summaries in English, French, and Spanish.

B540: En

B560: En, Fr, Es

[Recommended that the following fields be mapped to the B220 Institution set because they are seldom used for A.I.D. documents in DOCRD/DOCUMENT; because codes for publishers are entered into INSTDS just as they are for corporate authors and sponsoring institutions; KSAM codes for ordering are entered into tracking and not into the bibliographic citation portion of the record; and because the link between the A.I.D./W/DIC ILS and CATRD is on the Institution fields, rather than on the following set:]

PUBLISHER: B610/PUBL

Data base: CATALOG, DOCUMENT.

Non-repeating, subfielded, max length 298.

Subfields -

PUBLISHER - NAME: B611/PUBNA
PUBLISHER - AUTHORITY CODE: B614/PUBAC

Field B614, authority code, points to the appropriate entry on the institution authority file, **INSTDS,** including institution name, sub-body, city, and **ISO** country code. See Section 7, for a complete description of these data elements.

Records the name and location of the publisher, or other organization or person responsible for production and distribution of a non-serial publication.

Since the bulk of the documents handled by DISC have publishers which are the same as the corporate author/affiliation, only enter a publisher when it is different from the institution named in field **B220.**

Select the principal publisher as indicated on the documentary unit. When no principal publisher is indicated, enter the first named publisher. When a second publisher is indicated, it may be recorded as a note in field B820. If no publisher is indicated, select the printer. If no printer is indicated, select the institution in which the documentary unit was produced. When no issuing body can be determined, field B610 is left blank.

When the distributor is different from the publisher, enter data referring to the distributor in field **B810** (Availability).

Example:

Publisher (B610): Mouton, The Hague, NL

B810: Aldine Publishing Co., 200 Saw Mill River Rd.,
Hawthorne, NY, 10532 US

[Recommended that the following fields be eliminated and that the information currently in them be mapped to the B220 set:]

PUBLISHER - NAME: B611/PUBNA

Data base: CATALOG, DOCUMENT.

Non-repeating, subfield of B610, max length 250. Joins with institution authority file (see Section 7.)

Nothing is entered in this field. Enter publisher name in INSTDS (I100). B611 is for searching purposes only.

PUBLISHER - AUTHORITY CODE: B614/PUBAC

Data base: CATALOG, DOCUMENT.

Non-repeating, subfield of B610, fast access key (inverted onto same file as B224 and B324), max length 6.

Field B614, authority code, points to the appropriate entry on the institution authority file including institution name, sub-body, city, and ISO country code. See Section 7, for a complete description of these data elements.

DATE OF IMPRINT/ISSUE - FREE FORM: B620/DATE

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, required field, max length 30.

Records the date of publication or issue of a documentary unit, i.e. date of publication of a book, report, or non-serial issue date of a serial (when the documentary unit is a contribution to a serial); date of submission of a thesis or dissertation. Selection:

General Rules:

Standardize and abridge the date and enter it in one of the following formats, as applicable:

Day Month Year
Month Year
Year

Enter seasonal data as follows:

Spring 1987

Abbreviate the names of months (first three letters of month).

12 Jan 1992	Jul 1965
Feb 1990	17 Aug 1982
8 Mar 1989	Sep 1993
22 Apr 1988	15 Oct 1985
16 May 1975	Nov 1991
18 Jun 1972	Dec 1945

Do not use periods after abbreviations.

Do not include a space before or after a hyphen.

Enter range of dates as follows (Applies to CATALOG only):

25-27 Jun 1992
2, 3, 4 May 1990
22 Mar-26 May

Enter in brackets dates which have been supplied.

[1980] (Brackets indicate supplied date.)

Select the date of publication as found on the documentary unit's title page, verso or cover. When found elsewhere on the document enclose date with brackets.

Copyright Date: When the documentary unit bears both a copyright date and a date of publication, select the date of publication.

Editions: When the documentary unit is a second or subsequent edition, select the date of publication of the edition in hand.

No Date: When no date of publication is specified, supply a probable date of publication by checking references, statistical tables, bibliographies, etc. and selecting the latest date mentioned. Enter this supplied date between brackets; or if there is no indication of date, enter **"n.d."** for **"no date."**

Time Span: When a documentary unit is published over more than one year, select the end date.

Date of Documentary Unit Different from Date of Generic Document: When a documentary unit has a different date from the generic document from which it is extracted, select the date of publication of the generic document.

Example:

The documentary unit is an article dated December 1980, published in a journal dated 22 January 1981.

B620: 22 Jan 1981
B630: 1981-01 (DOCRD) [but 1981-01-22 in INVRD]
B820: Oringinally issued Dec 1980

Evaluation Summaries (ESs)/Project Evaluation Summaries (PESs): Select the date the **USAID** or **A.I.D./W Office Director** approved the document.

Data Entry:

General Rules:

Standardize and abridge the date and enter it in one of the following formats, as applicable:

Day Month Year
Month Year
Year

Enter seasonal data as follows:

Spring 1987

Abbreviate the names of months (first three letters of month).

12 Jan 1992	**Jul 1965**
Feb 1990	**17 Aug 1982**
8 Mar 1989	**Sep 1993**
22 Apr 1988	**15 Oct 1985**
16 May 1975	**Nov 1991**
18 June 1972	**Dec 1945**

Do not use periods after abbreviations.

Use a space before and after a hyphen:

25 - 27 Jun 1992
2, 3, 4 May 1990
22 Mar - 26 May

Enter in brackets dates which have been supplied.

[1980]

YEAR AND MONTH OF IMPRINT/ISSUE - FIXED FORM: B630/YEAR

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC

Non-repeating, fast access key (length of string to extract = 6, strip non-alphanumeric characters, invert online), max length 7.

Records the year and month from the date entered in field **B620.** When field **B620** contains a range of dates, enter the latest date in field **B630.** For the months January - September, enter a leading 0. If no month is given, enter just the year.

Format: YYYY-MM (for CATRD/CATALOG, DOCRD/DOCUMENT)
Format: YYYY-MM-DD (for INVRD/INVENTORY/AIDHOC)

Examples:

B620: 9 Jan 1979
B630: 1979-01

B620: Aug 1979
B630: 1979-08

B620: 1980
B630: 1980

B620: [1980]
B630: 1981

B620: Jan-Jun 1980 (CATALOG ONLY)
B630: 1980-06

Note: When using QUERY with a comparison operator, eliminate the "-" and enclose the dates in quotes, otherwise a free text search will be performed.

Example:

To retrieve all items published during FY 1981 >=B630 >= "19801@" and >= "19810@"

COLLATION: B640/COLLAT

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Non-repeating, subfielded, max length 90. Subfields:

PAGINATION/DESCRIPTION: B641/PAGINA
COLLATION NOTES: B642/COLNOT

Describes the physical extent of a documentary unit, including pagination, presence of

attachments, and illustrative matter.

[Recommended that this field be eliminated and that D410 (Fiche Frames) have its definition revised and expanded to include Pagination and Electronic File Size.]

PAGINATION/DESCRIPTION: B641/PAGINA

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Non-repeating, subfield of B640, required field, max length 40.

Enter the pagination or the number of physical pieces in the documentary unit. Use standard abbreviations **"p. "** (pagination) and **"v. "** (volume). For a monograph, enter the number of pages in the major sequence of numbered pages. For an extract from a serial or monograph, enter the first and last pages. For a collection, enter the number of physical pieces.

Examples:

A monograph contains 194 pages.

B641: 194 p.

A monograph contains various sequences of pages numbered and unnumbered.

B641: v.p.
B641: ca. 100 p. (circa 100 p.)

A multivolume collection contains 6 volumes.

B641: 6 v.

A chapter in a book is on pages 19 to 83.

B641: p. 19 - 83

An article in a periodical, not continuously paged, is on pages 27-40, 44, and 46-57.

B641: p. 27 - 40, 44, 46 - 57

An article in a periodical is in two subsequent issues, on pages 1-13 in the first issue and pages 3-19 in the second issue.

B641: p. 1 - 13, 3 - 19

Exceptional Cases:

For larger documents with unnumbered pages, or with several sequences of numbered pages, estimate the total number of pages and enter after **"ca. "** Or an actual count may be taken and entered in brackets.

Examples:

A monograph contains approximately 200 pages.

B641: ca. 200 p.

A monograph contains various sequences of pages numbered as follows: A1-A26, B1-B39, C1-C36.

B641: [101] p.

Note presence of attachments, appendices, or annexes.

Examples:

A project paper contains 145 pages as well as eight annexes.

B641: 145 p. + 8 annexes

Note: Detail description of attachments may be entered in **B820,** ancillary data, at the discretion of the documentalist.

Note: Field **D410,** number of fiche frames, will also provide the user with an exact count of filmable pages for those documents which are microfilmed.

COLLATION NOTES: B642/COLNOT

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Non-repeating, subfield of **B640**, max length 50.

Records notes on illustrative matter. An illustrated printed monograph or document should be described as **"ill."** unless the illustrations are of a particular type. If the illustrations are one or more of the following types, use the appropriate term or abbreviation in alphabetical

order: charts, facsimiles, forms, maps, plans, portraits (both single and group), statistical tables. All other types are designated as **"ill."** Abbreviations are as follows:

facsimile/facsimiles: "facsim"/"facsims"
illustration(s): "ill."/"ills."
portrait(s) "port."/"ports."

Example:

A documents contains 3 colored maps, several photographs, and a table of statistics.

B642: ill., maps, statistical tables

Example:

An annual report includes a number of colored photographs of people and crops in a developing country.

B642 ill., ports.

Example:

A document is made up almost entirely of charts and graphs of statistical data.

B642: charts, statistical tables

REPORT NUMBER OR SYMBOL: B650/RPTNO

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Inverted, repeating, max length 50.

Note: Mnemonic **RPTNO** is different from the **IDRC** mnemonic of **REPORT** because the word **"report"** is often used to search on title.

Records report numbers which identify a documentary unit. It is also used to record symbols found on official United Nations documents. *[Recommended that B430/ISSN, B660/ISBN, and D170/SUDOC be eliminated and that Superintendent of Document Numbers be mapped to B650.]*

Report numbers are found in a wide variety of documents and are not limited to items which are called reports.

Report numbers should not be confused with monographic series statements, which are not as cryptic as report numbers, and do not usually contain abbreviated words.

Project numbers, grant numbers, contract numbers, etc., are not report numbers.

Example:

On title page of an audit report: "A survey of the Private Investment Encouragement Fund Project; Grant No. 263-0097; Audit report no. 6-263-82-4."

B650: Audit report no. 6-263-82-4

Note: If the AID audit has "Memorandum Audit Report No. 6-263-82-4", disregard the word "memorandum" and enter the audit number as stated above.

Example:

ES facesheet from **USAID/Lebanon** with an evaluation number of 80-3 (item 4 on the facesheet).

B650: ES no. 278-80-03

Note: The **ES** number consists of the country code, a dash, the fiscal year in which the evaluation was conducted, a dash, and a sequential report number relative to that fiscal year.

ISBN: B660/ISBN

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, max length 15.

Records the **International Standard Book Number (ISBN)** of a documentary unit.

The **ISBN** is a 10-character code which serves to identify uniquely the title, or edition of a title, to which it is assigned. **ISBN's** are usually assigned by the National Library of a country and are generally found in a document with the publisher information.

Separate the four numerical portions of the **ISBN** by hyphens.

Example:

ISBN as shown on the documentary unit: ISBN 0 571 08989 5

B660: 0-571-08989-5

When several **ISBN's** appear, relating to different editions of the same document, select the **ISBN** corresponding to the edition in hand.

EDITION: B670/EDITN

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT

Non-repeating, max length 25.

Records edition number or statement relating to a second or subsequent edition of a monograph or collection. It is also used to indicate a draft or preliminary version.

Abbreviations:

ed. (edition)
rev. (revised)
enl. (enlarged)

Examples:

Draft ed.
2nd ed.
3rd rev. ed.
4th rev. and enl. ed.

MEETING: B710/MEET

Data Base: CATALOG, DOCUMENT.

[Frequently, meeting information is part of the title of conference reports. In such situations, enter the entire meeting information in b230. If necessary, follow with:

" : proceedings"

[Enter information in B710/B714 fields only if the conference name is not included in the title of the document.]

Repeating, subfielded, max length 442.

Subfields -

MEETING NAME AND NUMBER: B711/MEETNA
MEETING CITY: B712/MEETCI
MEETING COUNTRY CODE: B713/MEETCC
MEETING DATE: B714/MEETDA

These fields are used to enter the name, number, city, country, and date pertaining to a meeting, conference, workshop, symposium, etc. associated with a documentary unit, **when the conference name is not the same as the document title,** when it is a third location, or when the conference is given a third name. **[Prefer: entry in B230 of a conference name when it is the same as the title of the document.]** The documentary unit may be a:

- report of proceedings
- summary of papers presented
- selection of papers presented
- paper prepared for a meeting
- workshop or seminar papers

A meeting may be referred to by either a specific appellation or by a general description. The information relating to it is found on the title page or cover, or in the introductory material of the documentary unit.

Examples:

Report of the Commonwealth Conference on Non-Formal Education for Development, New Delhi, 22 January-2 February 1979

B230: Report of the Commonwealth Conference on Non-Formal Education for Development, New Delhi, 22 January - 2 February 1979.

Conference held in Bangkok on 8th June 1979 on waste disposal and resources recovery

B230: Conference held in Bangkok on 8th June 1979 on waste disposal and resources recovery

Select one meeting statement for each different meeting associated with the documentary unit. When the same meeting is held in several different cities, enter them in the title field as if they were multiple document titles bound together.

When several versions of the same meeting statement appear on the documentary unit in the same language, select the statement which is most complete and appears to be the "official form". When several language versions of the "official" meeting statement are present, select the English version.

Example: Meeting held in two cities

B230: Seminar on Machine Tools for Latin American Countries, Buenos Aires, Argentina, 16 - 20 October, 1972 and Sao Paulo, Brazil, 21 - 27 October, 1972

If Meeting was held in more than two places, use B710 series for entering additional meeting information

MEETING NAME AND NUMBER: B711/MEETNA

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT

Repeating, subfield of B710, max length 350.

[Enter information into this field only if it is not included in the title of the document and only if the conference name varies from the title of the document.]

Enter meeting name and number. Capitalize the first letter of all significant words.

For numbered meetings, follow the meeting name with a comma and space and the ordinal number denoting the number.

Consider a session of a committee to be a meeting number and enter it as such.

Examples:

Commonwealth Conference on Non-Formal Education for Development
FID International Congress
All Pakistan Economic Conference, 16th
Congres International de la Population, 3rd
Seminario sobre "Modernizacion Universitaria", 2nd
Joint FAO/IAEA/WHO Expert Committee on the Wholesomeness of Irradiated Food, 2nd Session
Joint Conference of African Planners, Statisticians, and Demographers, 1st Session

MEETING CITY: B712/MEETCI

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Repeating, subfield of B710, max length 50.

Records the city or town in which the meeting was held. Use the English language version of the city.

[Enter information into this field only if it is not included in the title of the document and only if the conference name varies from the title of the document.]

MEETING COUNTRY CODE: B713/MEETCC

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Repeating, subfield of B710, max length 2.

Enter the **ISO** country code corresponding to city entered in **B712**.

[Enter information into this field only if it is not included in the title of the document and only if the conference name varies from the title of the document.]

MEETING DATE: B714/MEETDA

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Repeating, subfield of **B710**, max length 40.

Enter the date or inclusive dates on which the meeting was held using the format in the examples below. Enter the names of the months using the English abbreviations (first three letters of the month).

[Enter information into this field only if it is not included in the title of the document and only if the conference name varies from the title of the document.]

Examples:

11 - 14 Sep 1972
30 Aug - 2 Sep 1971
9 Dec 1975 - 5 Jan 1976
27 Sep - 2 Oct, 24 - 26 Oct 1976

OCLC NUMBER: D720/OCLC

Data Base: CATRD/CATALOG.

Non-repeating, max length: 15

D720: 12898424

LIBRARY OF CONGRESS CARD NUMBER: D730/LCCARD

Non-repeating, max length: 10

89-70143

AVAILABILITY: B810/AVAIL

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, max length 200.

Records information on the availability of the documentary unit. The address and pricing information is supplied here as an alternative source.

Example:

A document has faint type and cannot by fiched.

B810: Microfiche not available -- illegible, p. 3 - 9 missing

Example:

A document is available only on microfiche.

B810: Available on microfiche only

Example:

A document has been published. User must be advised to contact the publisher for the document.

B810: Westview Press, 55 Central Ave., Boulder, CO 80301 USA

Example:

The back of the title page of a document from **IFPRI** cites its address and the availability of free documents.

B810: International Food Policy Research, 1776 Massachussetts Ave., N.W., Washington, DC 20036 USA Free

A **Design Document** is considered *"Procurement Sensitive under FAR Regulations"* and is *"Restricted to Direct Hire Personnel."* **"Procurement Sensitive Documents (PSDs)"** are those

actually marked; "Procurement Sensitive Information (PSIs)" are those which carry an automatic two-year restriction in accordance with the Project Manager's Directive:

B810: **Available only to authorized A.I.D. personnel -- Procurement Sensitive Document (PSD) -- Microfiche not available**

[N.B. PSD documents are not filmed and are housed separately from all other documents.]

B810: **Available only to authorized A.I.D. personnel -- Procurement Sensitive Information (PSI)**

ANCILLARY DATA: B820/ADATA

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Repeating, fast access key (same inversion criteria as field **B230/TITLE**, inverts onto same fast access file as B230), max length 240.

Contains information about the documentary unit which can not be entered in any other field. Do not include end punctuation.

Translation notes:

Cross reference other language versions of the document available on the data base.

Example:

A document is available in English and in Spanish.

For the English record -

B820: Spanish ed.: PN-AAG-888

For the Spanish record -
B820: English ed.: PN-AAG-887

Related record notes:

Example:

An ES has a special evaluation attached. Each receives its own record on the system. The special evaluation is treated as a monograph.

In the **ES** record:
B820: Attachment: XD-AAK-013-A

In the special evaluation record:
B820: Attached to PD-AAK-013

Example:

A report has an annex. The annex receives its own record on the system as an analytic of the report.

In the report record -

B820: Companion evaluation: XN-AAJ-534-A

In the annex record -

B820: Companion evaluation summary: PN-AAJ-534

If a document is identified as being related to another document, cross reference the other DOCID in both documents.

In record for first document:

A000: PN-ABC-663
B820: Related document: PN-ABC-664

In record for second document:

A000: PN-ABC-664
B820: Related document: PN-ABC-663

Notes relating to original publication:

Examples:

Originally published under the title: Give us the tools

B820: Originally published under the title: Give us the tools

Originally published by Siglo XXI, Mexico, DF, MX, 1970

B820: Originally published by Siglo XXI, Mexico, DF, MX, 1970

Bibliography: pages 143-189

B820: Bibliography: pages 143-189

GEOGRAPHIC CODE: C100/GEOCD [See ANNEX 3C for GEOCODES.]

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT

Non-repeating, max length 3. Joins to A.I.D. geographic code **KSAM** file for validation and decoding.

Enter the first three digits (the geographic code portion) of the primary A.I.D. project number for A.I.D. project documents only.

Examples:

Africa Regional: Geocode = 698
C100: 698

Uganda: Geocode = 617
C100: 617

Regional Development Office. Caribbean: Geocode = 538
C100: 538

Grenada: Geocode = 543 (538 as of 1990)
C100: 538

Eastern Europe
C100: 180

[See Geocode Table in Annex 3C for code for each country and region.]

A.I.D. GEOGRAPHIC NAME: C110/GEONM

Data Base: DOCRD/DOCUMENT

Non-repeating, max length 40.

Do not enter anything in this field. It is used for decoding the A.I.D. geographic code.

MAJOR SUBJECT: C200/MAJSUB

Data Base: DOCRD/DOCUMENT

Non-repeating, max length 50.

A major subject category is assigned to all technical document records entered after August 1985 and to all project documents entered after February 1987. The subject is derived from the **"A.I.D. Thesaurus"** list of **Major Subjects**. This field is used in creating **A.I.D. "New Acquisitions: Technical," "New Acquisitions: Evaluations," "New Acquisitions: Projects"** lists each month.

Enter using initial caps of all nouns.

Example:

C200: Population and Demography
C200: Agriculture
C200: Economics
C200: Natural Resources and the Environment

DESCRIPTORS: C210/DESCR

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT

Non-repeating, fast access key (term extraction, length of string to extract = 40, no stripping, invert online), future thesaurus field, max length 700. Associated "any table": **ANYD.**

Field contains primary, secondary, and geographic descriptors which reflect the subject content of the documentary unit.

Refer to indexing guidelines in section 8.

Enclose descriptors in slashes; separate with spaces; capitalize the first letter of each descriptor term (but capitalize each word of a multi-word country name).

Example:

/Agricultural credit/ /Credit cooperative/ /Guatemala/ /Agricultural inputs/ /Farmer training/ /Farm income/

IDENTIFIERS/PROPOSED DESCRIPTORS: C220/IDENT

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT

Non-repeating, fast access key (term extraction, length of string to extract = 40, no stripping, invert

online), max length 300.

Terms NOT included in the "A.I.D. Thesaurus" are entered separately here to describe concepts not adequately covered by existing descriptors. Field also contains proposed descriptors.

Enclose identifiers and proposed descriptors in slashes; separate with spaces; capitalize the first letter of each identifier or descriptor term (but capitalize each word of a multi-word country name).

Example:

/Onsite evaluation/ /Indepth evaluation/ /Extrusion cooker/

For each proposed descriptor, complete a **"Thesaurus Term Review Form"** and submit it for approval. If the descriptor is accepted, it will be transferred to field **C210**.

NOTATION: C230/NOTAT

Data Base: CATRD/CATALOG/DOCRD/DOCUMENT.

Non-repeating, fast access key, max length 20.

Do not enter data in this field. It is used for searching purposes of the A.I.D. Thesaurus notation.

LIBRARY OF CONGRESS SUBJECT HEADING: C240/LCSUBJ

Data Base: INVRD/INVENTORY/AIDHOC.

Repeating field, fast access key, max length 80.

The configuration of this field is such that it will accept and allow searching on term or word in any format. The pattern of entry is siginificant individual terms/words and/or significant phrases, regardless of punctuation, e.g.

C240: Development assistance
C240: Economic support fund
C240: Population
C240: Caribbean
C240: Lebanon
C240: Agricultural economics
C240: Democratization
C240: Biodiversity

This field was created to allow entry of LC Subject Headings, which frequently include punctuation. However, entry rules for the **DIS** are not to enter punctuation; simply the words or terms indicated. Words that are generally used together, e.g., **"Development assistance,"** and/or are **"A.I.D. Thesaurus" terms** are used in their usual format, e.g.,

Enter **Development assistance** as one entry, **not "Development"** as one entry and **"Assistance"** as a second entry. In fact, **C240** will accept and search either way.

Terms and words do not have to be in the **"A.I.D. Thesaurus" or standard LC Subject Headings,** but they may be. The field is very flexible. *[Consideration should be given to using this field on DOCRD because it is so flexible and does not require "/A.I.D. Thesaurus Term/ /A.I.D. Thesaurus Term/ ... " format, which is currently needed for appropriate entry in both the C210/DESCR and C220/IDENT fields.]*

ABSTRACT: C310/ABSTR

Data Base: DOCRD/DOCUMENT.

Repeating, subfielded field. Max length 3901.

Subfields:

FIRST PARAGRAPH FLAG: C311/PARA1
ABSTRACT PARAGRAPH: C312/ABST

FIRST PARAGRAPH FLAG: C311/PARA

Data Base: DOCUMENT.

Non-repeating, max length 1, subfield of ABSTR.

A flag of **"Y"** is stored in parallel with the first occurrence of **C312/ABST.** This flag is necessary in order to print the first paragraph only of the abstract -- for project abstracts, this constitutes the "overview" paragraph. To do this in PRINT, insert field **C312** in print format, print by group = **Y**, check field id = **C311**, display while find check field = **Y**.

If MINISIS is ever enhanced to allow for printing of specific occurrences, **C312/ABST** can be reformated to a simple repeating abstract paragraph field.

ABSTRACT PARAGRAPH: C312/ABST

Data Base: DOCRD/DOCUMENT

Non-repeating, max length 3900, subfield of **ABSTR**. Stores text of abstract paragraph.

Note: Field length set at 3900 to accommodate long, unparagraphed abstracts from old Inquire databases. Normally abstract paragraphs are much shorter than 3900 characters.

BIBLIOGRAPHIC TYPE CODE: D010/BIBTYP

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, fast access key (field extraction, no stripping), required field, max length 2. Associated "any" table: **ANYB. Btree** also includes keys extracted from the first two characters of **A000/DOCID** field. Joins with a **KSAM** file for decoding.

Indicates the bibliographic type of the documentary unit.

Example: The document is a conference report.

D010: 21 (Conference Bibtype)

Example: The document is a Project Paper.

D010: 42 (Project Paper Bibtype)

[See ANNEXES 3D, 3E, and 3F for Bibtype Categories.]

BIBLIOGRAPHIC TYPE NAME: D020/BIBNAM

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, max length 40.

Do not enter anything in this field. It is used for decoding the bibliographic type code.

[The following field was added at request of PPC/E. Is it still needed?]

EVALUATION PERIOD: D040/EVALPD

Data Base: DOCUMENT.

Non-repeating, max length 30.

Records the period covered by evaluation documents. Follow data entry guidelines for field **B620 (Date of Imprint/Issue - Free Form) [Is this field still needed? It is recommended that this**

field be eliminated.]

Example:

On PES facesheet, item 7 (Period Covered by Evaluation): "From July 1977 To March 1981".

D040: Jul 1977 - Mar 1981

Example:

Report evaluates project activities during 1982.

D040: 1982

Note: Convert fiscal year dates to calendar dates. The U.S. Government fiscal year runs from October 1 to September 30. FY 1988 runs from 1 Oct 1987 to 30 Sep 1988.

The current fiscal year dates were adopted in 1976. Through FY 1976, the fiscal year ran from July 1 to June 30. The transitional inter-quarter (IQ) ran from July 1 to September 30, 1976. Then FY 1977 began on October 1 1976.

Example:

Progress report covering FY 1987 activities.

D040: Oct 1987 - Sep 1988 [Prefer entering this information in the title field.]

Example:

Progress report covering FY 1976 activities.

D040: Jul 1975 - Jun 1976

Example:

Special evaluation does not specify evaluation period. The evaluation was prepared during March 1982.

D040: Mar 1982

[Is the following field still needed? It was added at the request of PPC/E. It is recommended that this field be eliminated.]

TOTAL EVALUATION COST: D050/EVALCT

Data Base: DOCUMENT.

Non-repeating, max length 12.

Enter the total amount of the evaluation cost taken from page 2 of the A.I.D. Project Evaluation Summary or the A.I.D. Evaluation Summary. Omit the dollar sign.

Example:

The cost of the evaluation is $12,500.00.

D050: 12,500

A.I.D. CONTRACT NUMBER - AUTHORSHIP: D060/CONTRA

Data Base: DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC

Repeating, fast access key (field extraction, no stripping), max length 29.

Note: Field length set at 29 because of space limitations on microfiche header.

Enter number of the A.I.D. contract, grant, PASA, or RSSA which funded the production of the documentary unit. This number is often supplied on the title page by the contracted author. If the document is a contract, enter the number of the contract. If a document evaluates a contractors performance, the number of the contract being evaluated is not entered in this field, it is entered in field **D070 (A.I.D. Contract Number - Evaluated)**

All contract numbers should be verified by checking the Contract On-Line Reporting System (COORSRD) data base, the Contract Information Management System (CIMSRD) data base, and/or **PRJSRD**, the Contracts Office data base, all of which also contain grants. Enter the contract number exactly as it appears on one of these sources.

Enter work or task order numbers in **B820.**

Example:

The document was produced under Contract Number PDC-0232-C-00-9088-00. It is Work Order 22.

D060: PDC-0232-C-00-9088-00
B820: Work Order 22

Example:

The document was produced under Contract Number AID/ta-C-1108.

D060: AID/ta-C-1108

Example:

The document was produced under Contract Number DPE-3023-C-00-4083-00.

D060: DPE-3023-C-00-4083-00

[Is the following field still needed? Because D060/CONTRA is a repeating field, the A.I.D. Contract Number - Evaluated can be entered into D060 if the definition of D060 is expanded to cover both "Authorship" and "Evaluated." Field was requested by PPC/E. It is recommended that this field be eliminated.]

A.I.D. CONTRACT NUMBER - EVALUATED: D070/CONTRE

Data Base: DOCUMENT

Repeating, fast access key (field extraction, no stripping, invert onto same file as D060), max length 29.

Enter the contract numbers of contracts evaluated by the document. Do not enter the contract which produced the document; such contracts are entered in field D060, AID Contract Number - Authorship.

All contract numbers should be verified by checking the Contract On-Line Reporting System (COORSRD) Data Base, the Contract Information Management System (CIMSRD), and/or **PRJSRD,** the Contracts Office data base, all of which also contain grants. Enter the contract number exactly as it appears on one of these sources.

[Is this field necessary? Increasingly, A.I.D. is characterized by Inter-Agency Agreements and Multi-Donor Strategies. It is recommended that D060 be used for this information and that this field be eliminated.]

NON-A.I.D. CONTRACT: D080/NONCON

Data Base: CATRD/CATALOG.

Repeating, max length 21.

Enter the contract numbers of non-A.I.D. contracts evaluated by the document or which funded the production of the document.

A.I.D. PROJECT NUMBER: D100/PROJ9

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Repeating, subfielded, fast access key (field extraction, no stripping, invert off-line), max length 9.

Subfields -

PROJECT NUMBER (7-DIGIT): D101/PROJ7
SUBPROJECT NUMBER: D102/SUBPRJ

Identifies the **USAID Project Number(s)** relate to the documentary unit. Project Numbers may be provided by the Acquisitions Unit or may have to be researched on **PRJSRD,** on **CIMSRD,** on **COORSRD,** or in one of the appropriate **APDMS** data bases, i.e., **AFRBRD, ASIARD, LACRD,** or **SNTRD**; or requested from the appropriate Regional or Centrally-funded office, normally by Acquisitions. The current authority files for project numbers are **PBAR, PRJSRD, AFRBRD, ASIARD, LACRD, SNTRD,** or the appropriate **Project Management Information System (PMIS) on MAGELLAN.**

"Project Number" for the **PROJ7/D101** and the **PROJ9/D102** fields below is defined as any Program, Project, Sector, Component, Sub-Project, or Activity Number assigned by a **USAID Mission** or by a **USAID/W Regionally or Centrally-funded Bureau or Office.** Standard 7-digit numbers are composed of the three-digit **Geocode** and a four-digit suffix, (515-0215). Standard 9-digit numbers are composed of the three-digit **Geocode**, a four-digit suffix, **AND** a one- or two-digit Sub-project or Component alpha or numeric (936-0421A, 936-0421-B ..., or 521-0181.01, 521-0181.02, 521-0181.03 ...), based on chronological order or, for Regional projects, on the last two digits of the **Geocode** (698-0410.83, i.e., 83 from the 683 geocode for Niger), as frequently occurs in the **AFR Bureau.** The following types of numbers are also considered "project numbers" for **DOCRD/DOCUMENT, INVRD/INV, and AIDHOC** usage:

Specific examples are given, followed by generic patterns, where **"G"** is a **Geocode** digit, and **"N"** is a **numeric suffix.**

Note: Only the alphanumeric characters should be entered. The Systems program defines the appropriate punctuation automatically.

PROJECT NUMBER (7-DIGIT): D101/PROJ7

Data Base: DOCUMENT.

Repeating, subfield of D100, fast access key (field extraction, key length 8, no stripping), max length 7.

Format: GGGNNNN

GGG = A.I.D. Geographic Code, i.e., GEOCODE
NNNN = Sequence Number.

PATTERN: GGG-NNNN (general)

Examples: Project Numbers in four different records are 936-0122, 543-0000, 690-0510, 278-0022

D101: 9360122
D101: 5430000
D101: 6900510
D101: 2780022

SUBPROJECT NUMBER: D102/SUBPRJ

Data Base: DOCUMENT.

Repeating, subfield of D100, max length 2.

Enter the subproject number, if any, for every occurrence of field **D101**. If the project has no subproject, leave this field blank. If a document relates to two or more subprojects of the same project, enter the entire project number for each subproject.

Example:

An evaluation relates to project 525-0242 as a whole. Examination of the Projects Database reveals that 5250242 has three subprojects: 01, 02, and 03.

D101: 5250242 D102: 01
D101: 5250242 D102: 02
D101: 5250242 D102: 03

Occasionally, subproject letters are assigned instead of numbers. Enter the letter as it appears on the project document.

Example:

D101: 5250242 D102: A

In the **AFR** Bureau, regional projects with country components may use the last two digits of the country-specific code to identify the components.

Example:

D101: 6980410 D102: 83 (from 683, the **Geocode** for **Niger)**
D101: 6980410 D102: 17 (from 617, the **Geocode** for **Uganda)**

Exceptions:

Synthetic numbers for the Food for Peace PL 480, Titles I, II, and III programs:

PATTERN: GGG-PLNN

Examples: Project Numbers for three different records are 664-PL01, 520-PL02, 521-PL03, respectively.

PL 480 numbers, e.g.,

D101: 664PL01
D101: 520PL02
D101: 521PL03

Commodity Import Programs = **"K" numbers, e.g.:**

PATTERN: GGG-K-NNN

Examples: Project Numbers for two different records are 611-K-012 and 683-K-018, respectively.

D101: 611K012
D101: 683K018

Emergency Relief = **"E" numbers, e.g.:**

PATTERN: GGG-E-NNN

Example: Project Number is 650-E-032

D101: 650E032

Loan = **"L" numbers, e.g.:**

PATTERN: GGG-L-NNN

Example: Project Number is 522-L-003

D101: 522L003

Trust = **"T" numbers, e.g.,:**

PATTERN: GGG-T-NNN

Example: Project Number is 538-T-002

D101: 538T002

= **"U" numbers, e.g.:**

PATTERN: GGG-U-NNN

Example: 525-U-001

D101: 525U001

Disaster Relief = "DR" numbers, e.g.:

PATTERN: GGG-DRNN

Example: Project Number is 511-DR-01

D101: 511DR01

Housing Guaranty (Guarantee) = **"HG" numbers, e.g.**

PATTERN: GGG-HG-NN

Example: Project Number is 681-HG-01

D101: 681HG01

Environmental Travel = **"EVTR" numbers, e.g.:**

PATTERN: GGG-EVTR

Example: Project Number is 521-EVTR

D101: 521EVTR

Program Development and Support = **0000 numbers, e.g.:**

PATTERN: GGG-0000, or alternatively: GGG-0510

Example: Project Numbers in different records are 518-0000 and 677-0510, respectively.

D101: 5180000
D101: 6770510

Local Cost Support = **"OLCS" numbers, e.g.:**

PATTERN: GGG-0LCS, or alternatively: GGG-0999, e.g.:

Example: Project Numbers in different records are 278-0LCS and 518-0999, respectively.

D101: 2780LCS
D101: 5180999

Human Rights = **9801 numbers, e.g.**

PATTERN: GGG-9801

Example: Project Number is 674-9801.

D101: 6749801

Self-Help = **9901 numbers, e.g.:**

PATTERN: GGG-9901

Example: Project Number is 688-9901

D101: 6889901

Sometimes, such numbers will be assigned to programs, projects, sectors, and activities which also

have standard 7-digit numbers. In other words, both numbers should be entered so that the user understands the linkage. Many USAID-sponsered activities at all levels have components. In other words, it would not be unusual for an infrastructure program in India to have a standard 7-digit number with a PL 480 (PL02) Food for Work component and related number.

For filing purposes, for creating fiche headers, and in other applications where only one project number can be used, the first occurrence of this repeating field will act as the **"Prime Development Project Number, i.e., Primary Project Number."**

Therefore, if a document relates to more than one project number, select the most specific (e.g., country-specific, then region-specific, then centrally-funded) of the project numbers as the primary project number and enter it first. If the document is an evaluation, use the Project Number of the **"Prime Development Project or Project Number Evaluated."** Use the standard 7-digit or 9-digit number as the primary number. If project B is a continuation of project A, select project B as the primary project number. If production of the document is funded by project A, and the document evaluates project B, enter project B as the primary project number.

SUBJECT CATEGORY: D130/SJBCAT

Data Base: DOCRD/DOCUMENT.

Non-repeating, subfielded, max length 12.

Subfield:

PRIMARY SUBJECT CATEGORY: D131/SUBJP

Provides broad classification of the documentary unit. Field is included here solely to support other information systems based on the former subject classification field used on RANDD. Primary subject access in the MINISIS database is through the **Descriptor (C210/DESCR)** field. This field is used by **USAIDs,** which do not need the very specific classification scheme provided by the **"A.I.D. Thesaurus."** Currently, this field is also used to compile statistics for the **PPC/POL/CDIE/DI Management Information System (MIS).**

The format is a synthetic, abbreviated 4-digit alpha-numeric code, based on the **"A.I.D. Thesaurus" Classification Scheme**. See the following information for format.

Data Base: DOCRD/DOCUMENT.

Non-repeating, subfield of D130, max length 4.

Format: AANN

AA = Two letters identifying a general subject area
NN = Two numbers identifying a more specific area within the general area

Choose the code which best describes the document contents. [The **Direct Hire Systems Coordinator/"A.I.D. Thesaurus Committee Chairperson and the DISC Abstracting/Thesaurus Coordinator** are revising the categories to reflect more accurately **A.I.D.'s current strategic objectives.**

BIBLIOGRAPHIC IDENTIFICATION NUMBER: D140/BIBID *[It is recommended that the following field be eliminated and the data in it be mapped to the Ancillary Data field (B820/ADATA)]*

Data Base: DOCRD/DOCUMENT.

Non-repeating, max length 13.

Old bibliographic synthetic identification number, based on the Project Number, from the BREF database. No new BIBID's will be assigned to documents processed on MINISIS. The number is being retained for historical purposes. BREF abstracts cross reference documents by their BIBID. These should be changed to the equivalent DOCID.

Example: D140/BIBID = 3910413001702

U.S. DEPARTMENT OF COMMERCE, NATIONAL TECHNICAL INFORMATION SERVICE (NTIS): D160/NTIS

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, max length 14.

Records the accession (order) number assigned to the document by the National Technical Information Service.

Example: PB81-124745

D160: PB81-124745

SUPERINTENDENT OF DOCUMENTS NUMBER: D170/SUDOC

[It is recommended that the following field be eliminated and that data in it be mapped to B650]

Data Base: CATALOG, DOCUMENT.

Non-repeating, max length 20.

Records the **"SUDOC"** number for documents available through the US Government Printing Office. The GPO will specify which series of documents they wish to receive. Use the GPO selection guidelines to determine which documents to assign **SUDOC** numbers.

Example:

D170: GP 1.23/4:St 9/984

[Prefer: B650: GP 1.23/4:St 9/984]

PRIME DEVELOPMENT ACTIVITY PROJECT NUMBER: D200/PRJDEV

Data Base: DOCRD/DOCUMENT.

Repeating, max length 9. invert online, fast access key (field extraction, key length 10, no stripping), max length 9.

FORMAT: GGGNNNNNN

GGG = A.I.D. Geographic Code (GEOCODE)
NNNNNN = Sequence Number.

Records the Project Number(s) or Subproject Number(s) which fund a **"Prime Development Activity"** as distinguished from PROJ7 and/or PROJ9, which will have every Project Number for which a document exists no matter what the nature of the Project.

When a **"Prime Development Activity,"** does not fund its own evaluation, its Project Number will be entered into its Project Number will be entered into **D101/PROJ7 and into D200/PRJDEV.** The Project Number, which funds the evaluation will be entered as a second Project Number in **D101/PROJ7 only.**

Example: Project 930-0090 evaluates 698-0423.75

D101: 6980423
D102: 75
D101: 9300090
D200: 698042375

In many instances the **"Prime Development Activity" Project Number funds its own evaluation.** Therefore, the **Project Number in D101/PROJ7, and D200/PRJDEV will be identical.**

D101: 5380000
D200: 5380000

For a discrete Project Number which funds the evaluation of another project, that Project Number will be entered into **D101/PROJ7 only. PPC/POL and G/R&D,** for example, have specific Project Numbers whose sole purpose is to evaluate other projects.

Example:

A Design Document identifies the Project as funding Technical Reports and Evaluations.

D101: 9364084
D200: 9364084

If, however, the document is an **Evaluation, such as a cross-cutting evaluation -- not related to specific projects, enter the Project Number in D101 only.**

D101: 9364084
D200: [Blank]

INVENTORY: D300/INV

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC

Repeating, subfielded, max length 19.

Subfields -

QUANTITY: D301/QTY
LOCATION: D302/LOCN

Records the quantity and location of hard copy documents at the DISC warehouse.

QUANTITY: D301/QTY

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Repeating, subfield of D300, max length 5.

Records quantity of hard copies in DISC inventory, both at the warehouse and at offices.

Field is updated each time documents are removed [BY THE DOCUMENT DISTRIBUTION UNIT] from or added to inventory.

LOCATION: D302/LOCN

Data Base: DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC

Repeating, subfield of D300, max length 14.

Records location of document at the DISC.

If the document is stored only at the warehouse, the location is prefixed with the letter "W." If the document is stored at the **DISC** in the Paper Copy Library, the location is designated as **"DISC."**

Example:

W-1: (Document is stored in DOCRD warehouse box 1.)
P-1: (Document is stored in INVRD warehouse box 1.)
DISC: (Document is shelved in the Paper Copy Library.)

FORMAT: D310/FMT

Data Base: DOCRD/DOCUMENT

Repeating, max length 2.

Records format of document. Valid codes are:

F0 = no microfiche
F1 = master microfiche
F2 = silver-halide microfiche
P = paper copy

SHELF LOCATION: D320/SHELF

Data Base: DOCRD/DOCUMENT

Non-repeating, max length 14.

Records location of document on user services shelves. Example:

D320: S25-G (shelving unit 25, seventh shelf)

WAREHOUSE INFORMATION: D350/WINFO

Data Base: DOCRD/DOCUMENT.

Repeating, subfielded, max length 44.

Subfields:

WAREHOUSE/AGENCY: D351/WHSE
BOXES: D352/WBOXES
QUANTITY: D353/WQTY
SKID: D354/WSKID

These fields are for warehouse inventory management.

WAREHOUSE/AGENCY: D351/WHSE

Data Base: DOCUMENT.

Repeating, subfield of D350, max length 20.

Cites location of stored document in warehouse.

BOXES: D352 / WBOXES

Data Base: DOCUMENT.

Repeating, subfield of D350, max length 10.

Records the number of boxes stored in the warehouse.

QUANTITY: D353/WQTY

Data Base: DOCUMENT.

Repeating, subfield of D350, max length 4.

Records the number of copies of the document being stored in the warehouse.

SKID D354/WSKID

Data Base: DOCUMENT.

Repeating, subfield of D350, max length 10.

Cites skid location where box is being stored in the warehouse.

WAREHOUSE NOTES: D360/WNOTE

Data Base: DOCUMENT.

Non-repeating, max length 100.

Records miscellaneous notes pertaining to the warehouse storage of a particular title (for example, titles for which there are original negatives in storage.)

DATE WAREHOUSE INFO ENTERED/MOD: D370 /WDATE

Data Base: DOCUMENT.

Non-repeating, max length 10.

Records the date warehouse information was entered or modified.

Format: YYYY-MM-DD

NUMBER OF FICHE: D400/FICHE

Data Base: DOCUMENT.

Non-repeating, max length 2.

Records number of fiche cards on which the document is filmed. The number is entered

automatically during the fiche preparation process. Used to calculate fiche costs to requestors.

Note: This data element will only be provided for records which will appear on a fiche header. If the record is not used to generate a fiche header, such as with attachments or analytics, this field will be blank. Cf. explanation of the "X" DOCID prefix under tag A000.

NUMBER OF FICHE FRAMES: D410/FRAMES

Data Base: DOCUMENT.

Non-repeating, max length 4.

Records number of fiche frames for the document. Used to calculate blow back costs to requestors. The number is entered automatically during the fiche preparation process.

Note: This data element will only be provided for records which will appear on a fiche header. If the record is not used to generate a fiche header, such as with attachments or analytics, this field will be blank. Compare explanation of the "X" DOCID prefix under tag A000.

ARDA PUBLICATION NUMBERS: D500/ARDA

Data Base: DOCUMENT.

Non-repeating, subfielded, fast access key (invert offline), max length 10.

Subfields -

D501 ARDA VOLUME ARDAV
D502 ARDA ISSUE ARDAS
D503 ARDA ITEM ARDAI

Records the volume, issue, and item number for those documents which have been announced in ARDA.

Example:

Document published as item 42 in volume 9 no. 4 of ARDA.

D501: 9
D502: 4
D503: 0042

Note: Volume and issue numbers are entered left justified. The month and year on RANDD will be converted to volume and issue. The 4-digit item number field is padded with zeros on the left. Data supplied at ARDA publication time, not at data entry time.

ARDA VOLUME: D501/ARDAV

Data Base: DOCUMENT.

Non-repeating, subfield of D500, max length 4.

Records volume number of ARDA in which document was published.

ARDA ISSUE: D502/ARDAS

Data Base: DOCUMENT.

Non-repeating, subfield of D500, max length 2.

Records issue number of ARDA in which document was published.

ARDA ITEM: D503/ ARDAI

Data Base: DOCUMENT.

Non-repeating, subfield of D500, max length 4.

Records the item number assigned to the document announced in ARDA.

TO BE PUBLISHED IN ARDA?: D530/ARDAQ

Data Base: DOCUMENT.

Non-repeating, max length 1.

Enter "Y" for documents to be published in ARDA.

ABSTRACT/INDEX? (A/I): D540/ABINQ

Data Base: DOCUMENT.

Non-repeating, max length 1.

Enter "I". The abstractors will determine if a document will be abstracted.

SPECIAL PROCESSING INSTRUCTIONS: D550/INSTR

Data Base: CATALOG, DOCUMENT.

Non-repeating, max length 100.

Enter any special instructions or comments regarding the processing of the document or simply to be used as a flag for the person responsible for routing.

Example:

D550: Paper copy library
D550: WID

D560 EXCLUDE FROM PROJDOC DATABASE?

Database: DOCUMENT.

Non-repeating, max length 1.

Enter "Y" for documents whose DOCID is not to be included PRJDOC data base which has a maximum allowance of 90 DOCIDs.

The following bibtypes should NEVER be excluded from PRJDOC:

02	43
10	46
14	47
15	48
17	49
18	50
19	57
37	68
38	81
42	

COST OF MICROFICHE: D570/MCOST

Data Base: DOCUMENT.

Non-repeating, max length 6.

Records cost for ordering a microfiche of document.

Enter without dollar sign.

Example:

D570: 4.10

COST OF PAPER COPY: D580/PCOST

Data Base: DOCUMENT.

Non-repeating, max length 6.

Records cost of blowback of microfiche or photocopy of document. Enter without dollar sign.

Example:

D580: 8.39

ENTRY OPERATOR: D600/OPID

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC.

Non-repeating, max length 8.

Contains initials of cataloger.

DATE ENTERED: D610/DATEEN

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT.

Non-repeating, required field, max length 10.

Records the date the record was first entered on MINISIS. Format: YYYY-MM-DD

YYYY = Current year
MM = Current month
DD = Current day

The date is supplied by the person using the **UPD** processor by typing **++1**.

DATE CATALOG INFO PROOFED: D620/DATECP

Database: CATALOG, DOCUMENT.

Non-repeating, required field, max length 10.

Records the date the descriptive cataloging portion of the record was proofed.

Format: YYYY-MM-DD

DATE PREPARED FOR MICROFILMING: D630/DATEPM

Database: DOCUMENT.

Non-repeating, max length 10.

Records the date the document was prepared for microfilming. Date is entered automatically when the IMAGE database is used to prepare the document.

Format: YYYY-MM-DD

DATE SENT TO MICROFILMER: D640/DATESM

Database: DOCUMENT.

Non-repeating, max length 10.

Records the date the document was sent to the microfilmer for microfilming. Date is entered automatically by using the fiche batch number on the IMAGE database.

Format: YYYY-MM-DD

DATE RETURNED FROM MICROFILMER: D650/DATERM

Database: DOCUMENT.

Non-repeating, max length 10.

Records the date the document was returned from the microfilmer. Date is entered automatically by using the fiche batch number on the IMAGE database.

Format: YYYY-MM-DD

Note: Certain documents will have to be returned to the microfilmer because of poor quality fiche. These documents will be assigned a new batch number on the IMAGE database before this field is updated.

DATE SENT FOR ABSTRACTING/INDEXING: D670/DATESA

Database: DOCUMENT.

Non-repeating, max length 10.

Records the date the document was given to the abstracting section for abstracting and/or indexing.

Format YYYY-MM-DD

DATE ABSTRACTED AND INDEXED: D680/DATEAB

Database: DOCUMENT.

Non-repeating, max length 10.

Records the date the document's abstract was added to MINISIS. Abstracts are proofread before addition to MINISIS. The index terms assigned by abstractors are also added at the same time.

Format: YYYY-MM-DD

DATE INDEXED ONLY: D690/DATEIN

Database: DOCUMENT.

Non-repeating, max length 10.

Records the date that index terms were added for documents which are indexed but not abstracted.

Format: YYYY-MM-DD

DATE BIBLIOGRAPHIC PROCESSING COMPLETED: D700/DATEPC

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT

Non-repeating, max length 10.

Indicates the date when bibliographic processing was completed, including microfilming. This field is updated just before documents are disposed of; i.e., returned to A.I.D. Library, sent to NTIS, sent to warehouse, etc. OCLC cataloging, if necessary, would be performed after this date.

FORMAT: YYYY-MM-DD

DATE LAST MODIFIED: D710/DATEMO

Data Base: CATRD/CATALOG, DOCRD/DOCUMENT, INVRD/INVENTORY/AIDHOC

Non-repeating, max length 10.

Records the date the document record was last updated, corrected, or had data deleted.

Format: YYYY-MM-DD

OCLC NO: D720/OCLC

Data Base: CATALOG, DOCUMENT.

Non-repeating, max length 15.

Records the OCLC record number of the A.I.D. document. Data is entered in field if document is cataloged onto OCLC.

Enter number after "#" sign.

Example:

D720: #1002374

DATE DOCUMENT RETURNED TO USAID: D750/DATERA

Data Base: CATALOG, DOCUMENT.

Non-repeating, max length 10.

Records the date a document was returned to the USAID/W/DIC. Not all documents are returned to the USAID/W/DIC.

Format: YYYY-MM-DD

SHELF LIST: D760/SHELF

Data Base: CATALOG.

Non-repeating, subfielded, max length 265.

Subfields:

D761 NUMBER OF COPIES COPIES
D762 LIBRARY LOCATION LIBLOC
D763 NOTES NOTES

Field is used to enter the number of copies, location within the A.I.D. Library, and any notes pertaining to the book, document or fiche held in the collection.

NUMBER OF COPIES: D761/ COPIES

Data Base: CATALOG.

Repeating, subfield of D760, max length 10.

Enter the number of copies the USAID/W/DIC retains in its collection.

LIBRARY LOCATION: D762/LIBLOC

Data Base: CATALOG.

Repeating, subfield of D760, max length 20.

Enter the location where the title is kept in the USAID/W/DIC.

Examples:

Document is kept with the series in the reference collection.

B762: Ref. collection

An atlas is housed with other maps in the USAID/W/DIC atlas case

D762: Atlas case

NOTES: D763/NOTES

Data Base: CATALOG.

Repeating, subfield of D760, max length 240.

Enter any shelf list notes deemed necessary pertaining to the book, document, or fiche.

Examples:

A 1988 edition of Middle East Review is the only edition kept in the collection.

D763: USAID/W/DIC keeps latest edition only (1988)

Several years of State of the World's Children are on the shelf in the USAID/W/DIC.

D761: 1
D763: 1984, 1986, 1987, 1988

D770 DTRECL
D780 DTCLP
D790 DTRS

SOURCE DOCUMENT ID NUMBER: P440/SDOCID

Data Base: DOCUMENT.

Non-repeating, max length 14.

Do not enter data in this field. DOCID is automatically entered when abstract is loaded into DOCABST database.

DESIGN ABSTRACT PROJECT NUMBER: P450/PROJ9

Data Base: DOCUMENT.

Non-repeating, max length 9.

Do not enter data in this field. The design abstract project number is automatically added when the abstract is loaded into DOCABST database.

3.3 Maintaining the CATALOG and DOCUMENT databases

3.3.1 Entering records

The catalogers use UPD to enter the catalog portion of the document record into CATRD or DOCRD. The abstract is added as a separate process; see Section 8.5.

3.3.2 Deleting records

Use the DELETE/RELEASE processor to delete document records. Delete the record from CATRD or DOCRD first. If the document has an abstract, then delete the same ISN from DOCABST as well. Be careful, though, because any abstract on DOCABST that has a project number in field P450 is also a project abstract for the PROJECTS database.

3.3.3 Modifying records

Use the UPD processor to make changes to CATRD or DOCRD. To change an abstract, see Section 8.6.

3.3.4 How to change a DOCID number

A. Verify that the new DOCID is not already on DOCRD.
B. In UPD, change the DOCRD field DOCID to the new number.
C. If there is an abstract, change DOCABST field P440/SDOCID to the new number.

If you want the old DOCID to remain on the database with a pointer to the new DOCID...

D. Use UPD to create a new dummy record. Assign the old DOCID to field A000. Enter a see reference to the new DOCID in field B230.

3.4 A.I.D. document routing guidelines

3.4.1 Routing from filming

Boxes returned from filming are generally sent to be abstracted and/or indexed.

A. Generate a hitfile in QUERY and record the hitline of the final posting. Once the hitfile has been generated the following commands must be executed:

1. "And D650 Present" (to be certain the documents have been fiched). If postings appear, remove from the hitfile and check on the actual status of the documents.

2. "And D620 Absent" (to determine if they have been proofed).

3. "And D680 Present"

a. Re-enter hitline.

4. "And D690 Present" (to determine which documents are already indexed). Pull these documents from the hitfile group and follow the procedures stated above.

a. Re-enter hitline.

5. "And D700 Present" (to determine if processing is complete). Pull these documents from the hitfile group and follow the above procedures.

a. Re-enter hitline.

6. "And D550 Present" (to determine special processing needs). Pull documents from the hitfile group and send to abstracting if processing is not complete.

a. Re-enter hitline.

7. The remaining documents should be kept using the "KEEP" and "SAVE" commands.

a. "KEEP (hitfile name)" is used in case of entry error.
b. "SAVE (hitfile name)" is used for processing the records in another processor, i.e. UPD, INDEX, and PRINT.

8. Add "$" and go into UPD.

B. Use the saved hitfile in UPD and globally modify it.

1. Use the following commands:

```
?GLOBAL,HITFILE=(hitfile name)
?add D670
?++1 (today's date)
?EXIT
```

C. Once these functions are completed, use the same hitfile in INDEX.

1. Using the hitfile above, respond to the INDEX commands in the following manner:

```
?HITFILE=(hitfile name)
?OUTPUT=(any name you designate)
?KEY=DOCID,LENGTH=13
?FIELD=DOCID
?END
?***
?EXIT
```

2. Enter the PRINT processor by typing **"P"** at the colon.
   Enter **DOC2DS** as the data base.
   Enter **DOC18PF.PF** as the print format.
   Enter the name of the **output file** when the **"Select Records"** function appears as follows:

   Hitfile=[NAME]

   When the prompt appears again, enter **"END"**
   ?EXIT

The above sets of commands for INDEX and for PRINT will sort your hitfile by DOCID and send your job to the printer. Place printouts in the corresponding documents folders and send these to abstracting/indexing.

3.4.2 Routing from abstracting:

Documents returned from abstracting/indexing are initially segregated into several categories: ARDA, Paper Copy Library, PIDs, Evaluations, Library documents, and remaining PDs and PNs.

The latter are generally placed into "W" boxes -- with PN's and PD's in separate boxes) and shipped to the warehouse.

A. After segregating the documents into appropriate categories, generate hitfiles for each category in QUERY. Once the hitfiles have been generated, the following commands must be executed:

1. "And B810 Microfiche not available" (to determine which documents are to be stored in the Paper Copy Library). If postings appear under "AND B810 Microfiche not available," they should be removed from the hitfile. This step is accomplished by using the "NOT" command. Also, these records should be noted and the fields D700 (processing completed) and D302 (location - add DISC) added to their records through the MODIFY function.

a. Re-enter hitline.

2. "And D650 Absent" (to determine if they fall into the above category or if they require filming). Pull these documents from the hitfile group.

a. Re-enter hitline.

3. "And D550 Present" (to determine which documents require special needs). Pull these documents from the hitfile group and process accordingly.

4. "And D010 42 and B230 amendment and D540 A and D680 absent" (to determine which project paper amendments have not been abstracted.) Add a note in B820 stating "See project record for abstract."

5. "And not C210 Present" (to determine if any records are missing index terms). If postings appear, these documents should be returned to the abstracting unit.

6. Once these operations are completed regenerate the hitfile. The remaining documents should be kept using the "KEEP and "SAVE" commands.

a. "KEEP (hitfile)".
b. "SAVE (hitfile)".

B. Use the saved hitfile in MODIFY and globally add D700 and D302 to these records and place them into the appropriate "PD" and "PN" W-Box.

C. Finally, all record printouts should be looked at in order to make any record modifications noted during the abstracting stage.

Section 3.5
CATALOGING PROCEDURES FOR AUDIOVISUAL MATERIALS

A.I.D. AV DATABASE

ISN
AVID
- Subject Code (Subfield)
- Regional Code (Subfield)
- Accession Number (Subfield)

Old Call Number
A.I.D. Project Number
Producer
Sponsor
Narrator
Title
Series Title
Conference Name
Year Distributed
Year Filmed
Edition
Language Note
Media Type (see media codes)
Media Description (B&W or Color)
Run Time
Distributor Name
Cost
Bound with Note (If item cataloged has been issued together with other bibliographic items, a note to that effect is made in this field)
Descriptors
Identifiers
Abstract
Location (Training Library, USAID/Mission, etc.)
General Notes
Date of Entry
Date Modified

Audiovisual Database

Print formats for printed catalog, shelf list and browsing online.

REGIONAL INDEX

To be sorted by: Region/Country/Alphabetical by Title

Example:

Africa
Bangladesh

Call No.: AA100-6-1234

Media Type: VTV

Series Title:

Title: Africa, A New Look

SUBJECT INDEX

To be sorted by: AID Classification number/Alphabetical by Title

Example:

AGRICULTURE GENERAL

Call No.: AA00-1-1234

Title: AID Agriculture Policy

Series Title: AID Policy Series

Media Type: VHS

ALPHABETICAL INDEX

Sort by: Title

Call No.: AAOO-B-01
Media Type: VHS

Title: AID Agriculture Policy

Series Title: AID Policy Series

Producer: Argus Films, Inc.
Year Filmed: 1982
Run Time: 120 min.
Media Descr: Color

This film is about agricultural policy in AID in 1982.

Haiti/ /Jamaica/ /Kenya/ - /Agricultural research/

BROWSING ONLINE

Same information as above; use TITLE INDEX format to create two print formats, one with and the other without the abstract field.

There will also be a data entry format which lists all fields in the record line by line with all field names preceding the data in the field, e.g. Title: AID Agricultural Policy

Media Type: VHS
Producer: Argus Films, Inc.
Abstract: This film, ...

SHELF LIST

A shelf list is needed to help in assigning accession numbers. It needs to be sorted first by subject code (AID Class. No.), secondly by region code and third by accession number. Only a short print format is needed, as follows:

Agriculture General (AID Class. Name)
Call #: AA000-1-01 Title: AID Agricultural Policy in 1985

Agricultural Education
Call #: AC00-1-01 Title: Agricultural Education in Egypt

AVRD DATA ENTRY INSTRUCTIONS BY FIELD

INTERNAL SEQUENCE NUMBER . . . . . ISN

Unique number assigned to each record automatically by MINISIS. The ISN is one of the points of direct access to a record.

A020
SUBJECT CODE . . . . . SUBJ
Non-repeatable, max length 5

Subject Code will be taken from the USAID Classification scheme. The subject code is used to describe the primary subject content of the audiovisual. It is also used, together with the regional code and accession number, to designate the shelf location of the audiovisual. Catalog to the most specific. Add to scheme if necessary to be more specific. Use the AID Thesaurus as a guide for adding terms.

A040
REGIONAL CODE . . . . . REGL
Non-repeatable, max length 2

Code used to describe the region the audiovisual is about. See Regional Code List:

1 Europe
2 Middle East
3 South Asia
4 East Asia & the Western Pacific
5 Latin America & the Caribbean
6 Africa
7 U.S./Canada
8 Multi-Regional
9 A.I.D./Washington (presentations done by or about A.I.D.--not country specific)
10 No country indicator (*This number is last so that it will not be included in regional sorts.)

See attached Country Lists for Regional breakdown.

A060
ACCESSION NUMBER . . . . . ACCES
Non-repeatable, max length 6

A unique sequential number assigned to an audiovisual. In the case of two films or videos being on one reel or tape, catalog separately ;according to subject/geographic information. Will need to make note in General Notes field. For shelving purposes will need to make see reference to number of tape/reel on which film/tape is found (put blank tape cover or reel on shelf with call number and see reference number). Accession number will begin with 01 within each subject and region code,

E.G.: AA00-2-01
AA00-2-02
AA00-5-01
AA00-6-01
AA00-6-02
AA00-8-01

A100
OLD CALL NUMBER . . . . . OLD
Non-repeatable, max length 10

Old Training Division Library Call Number necessary for conversion purposes.

A120
A.I.D. PROJECT NUMBER . . . . . PRJNO
Non-repeatable, max length 9

Records the A.I.D. project number under which the audiovisual was produced, if available.

A140
PRODUCER . . . . . PROD
Repeating, max length 60

Name of corporate entity or individual responsible for producing the audiovisual. When listing individual producers, enter the full name, last name first, followed by a comma and a space, and the given name(s) or initials. E.g., Majid, Abdul; Mulligan, Paul F.,Jr. Enter no more than three for either corporate or individual producers.

A160
SPONSOR . . . . . SPON
Repeating, max length 200

Name of corporate entity(ies) responsible for funding the production of the audiovisuals. Record sponsor only if different from producer. Record only first three sponsors; be sure to include A.I.D. if A.I.D.-sponsored.

This field can be searched to identify tapes that can be reproduced for distribution without copyright infringement.

A180
NARRATOR . . . . . NAR
Non-repeatable, max length 35

Individual narrating audiovisual, e.g., Thompson, Nigel

A200
TITLE . . . . . TITL
Non-repeatable, max length 250

Record the title of the audiovisual. Subtitles are entered when required to make the title meaningful. (Ex.: India: Diverse and Complex Land). Format is initial caps for all title words.

A210
SERIES TITLE . . . . . SERTI
Non-repeatable, max length 250

When audiovisual is part of a series, record series title and number of parts in series. E.g.: Going International, a 4-part series. Format is initial caps for all title words.

A220
CONFERENCE NAME . . . . . CONF
Non-repeatable field, max length 50

Records name of conference, workshop or such, in which session was videotaped or filmed to give "context" of audiovisual, if applicable. Format is initial caps for all title words. (Ex.: Aries Harpers Ferry Workshop).

A240
YEAR FILMED . . . . . YRFLM
Non-repeatable field, max

Records year film was made. Format: YYYY

A260
YEAR DISTRIBUTED . . . . . YRDIS
Non-repeatable field, max length 6

Records year audiovisual was distributed, only when different from year filmed. Format: YYYY.

A280
EDITION . . . . . EDTN
Non-repeatable field, max length 15

Records updated edition of an audiovisual. Format: use abbreviations for edition (ed), revised (rev), enl (enlarged); use abbreviations for ordinal numbers. (Ex.: 2nd, 3rd, 4th, etc.)

A300
LANGUAGE NOTE . . . . . LANG
Non-repeatable text field, max length 100

Record language only when spoken language of an audiovisual is primarily a language other than English. Also record language of subtitles if used. (E.g.: Portuguese language; English subtitles).

A320
MEDIA TYPE . . . . . MEDIA
Repeatable field, max length 4

Records physical format of audiovisual. See below for media types. Can be multiple entries, if applicable.

Media Types (can be multiple)

Code	Description
AC	Audiocassette
F8	Motion Picture (8 mm)
F16	Motion Picture (16 mm)
SC	Slide/Cassette
S	Slides
VTB	Videotape (Beta)
VTV	Videotape (VHS)
VTU	Videotape (Umatic)

A340

MEDIA DESCRIPTION . . . . . MEDES
Non-repeating, max length 5

Records black and white or color. Format: use either of following formats: b&w or color

A360
RUN TIME . . . . . TIME
Non-repeating, max length 10

Records length of audiovisual. Always use minutes. (E.g.: 120 min.).

A400
DISTRIBUTOR CODE . . . . . DISCD
Non-repeating, max length 6

Code from Authority File assigned to Distributor name, address, telephone number (authority file fields follow below:

A410
DISTRIBUTOR NAME . . . . . DISNM
Non-repeating, max length 100

Records name of organization from which copy of audiovisual was obtained. (E.g., Icarus Films).

DISTRIBUTOR ADDRESS . . . . . DISADD
Non-repeating field, max length 300

Records address of distributor. Include complete address information, including country name and all necessary codes.

DISTRIBUTOR TELEPHONE NUMBER . . . . . DISTEL
Non-repeating field, max length 15

Records telephone number of distributor. Include area code and any other necessary codes. (E.g., 703-663-2255).

A500
COST . . . . . COST
Non-repeatable field, max length 30

Records cost of audiovisual and any additional costs, e.g., shipping and handling. Exclude

"dollar"/"cents" signs. Format: 675.00 plus 5.00 mailing.

A510
BOUND WITH NOTE: . . . . . BOUND
Non-repeatable field, max length 200

Records whether item cataloged has been issued together with other bibliographic items, e.g., includes instructional booklets, manuals, or other type of documentation. Include title and author if applicable. E.g.: 1989 Desktop Guide to the A.I.D. Foreign Service Employees Evaluation Program; Managing Problem People: Behavioural Skills for Leaders by Peter Honey.

A520
DESCRIPTORS . . . . . DESC
Repeatable field, max length 250

Records geographic, primary and secondary descriptors which reflect the subject content of the audiovisual. Record all country specific descriptors first. If audiovisual covers more than 10 countries, OMIT geographic descriptors. Regional codes will suffice for geographic coverage. Use A.I.D. Thesaurus for proper country names. Use USAID Classification Scheme for subject terms.

Enclose descriptors in slashes; separate with spaces; capitalize the first letter of each descriptor. Enter the primary geographic descriptor(s) followed by a " - " (space dash space), followed by the secondary descriptors. E.g.: /Kenya/ /Guatemala/ /Haiti/ - /Oral rehydration therapy/.

Any descriptors placed before the " - " will be the ones extracted for printed geographic indexes. If using a geographic descriptor(s), be sure to make that clear by enetering a space dash space before entering subject descriptors. E.g.: - /subject descriptor/.

A530
IDENTIFIERS . . . . . IDENT
Non-repeating, max length 250

Any non-USAID Thesaurus term selected to enhance description of audiovisual.

A540
ABSTRACT . . . . . ABST
Non-repeatable field, max length 2000.

Records brief objective description of content of audiovisual. The abstract does not include judgmental statements unless attributed to a source, e.g., "The New York Times says that this is the best documentary."

A550
LOCATION . . . . . LOC
Non-repeatable field, max length 50

Records location of audiovisual within A.I.D./W or field missions. Use office symbol if location is a library/information center. E.g.: PPC/CDIE/DI or USAID/Cairo. See General Notes field for additional information on location.

A560
GENERAL NOTES . . . . . NOTE
Non-repeatable field, max length 500

Record information about audiovisual in this field that does not fit elsewhere. E.g.: quality of audiovisual (poor picture, poor sound); two films on one reel/tape; any borrowing restrictions; copyright restrictions (SEE SPONSOR FIELD. IF A.I.D. SPONSORSHIP, MAY COPY.).

A570
DATE OF ENTRY . . . . . ENTRY
Non-repeatable field, max length 10

Record date of entry into system (year/month/day). E.g.: YYYY-MM-DD.

A580
DATE LAST MODIFIED . . . . . MODIFY
Non-repeatable field, max length 10

Record date record was last modified on the system (year/month/day). E.g.: YYYY-MM-DD.

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4. The Projects Database

4.1 General Purpose and Structure of the Projects Database

4.1.1 Purpose of the Projects Database

The projects database, called PROJECTS, is one component of the Development Information System (DIS). Its purpose is to provides descriptions of completed, active, and planned development assistance projects funded by A.I.D.

The DIS includes four other databases, PRJDOC, PRJDOC2, PRJDOC3 and PRJDOC4, which extend PROJECTS by linking it to the document database. See the DIS User Manual for more information on how to use PRJDOC, PRJDOC2, PRJDOC3 and PRJDOC4.

4.1.2 Physical Structure of the projects database

The projects database consists of relational joins of five data files:
PROJRD is the root component and provides basic information;
GEO2 provides country or area based on the geocode;
PRJATH2 provides additional project information from PROJAUTH (described below);
PROJAB2 provides abstracts;
LOGFRAME provides the logical framework;
PJACSI2 provides activity and special interest codes.

A more technical discussion of the files and the joins is given in Section 16.

4.1.3 The project authority file: PROJAUTH

See Section 01 for a technical discussion of this database and the details of updating it.

4.1.3.1 The purpose of PROJAUTH

The project authority file, PROJAUTH, is one component of the projects database. The purpose of PROJAUTH is to:

* Provide authoritative project numbers and titles
* Provide a target list of projects for which design documents are to be acquired
* Provide such data elements as funding amounts, start/end dates, and classification codes which are already available on other A.I.D. catabases.

PROJAUTH is not used as an authority file in the MINISIS sense. i.e., it does not forbid non-PROJAUTH projects from being added to the projects database.

Project numbers entered in the document database are validated by printing out the projauth project title and visually checking for validity.

PROJAUTH provides funding amounts and other data items at the project level only. Therefore, the subproject records of project all have the same funding amounts -- those of the overall project -- they are not broken down by subproject.

4.1.3.2 Source of PROJAUTH data

Information for the project authority file is obtained from several databases maintained by other offices within A.I.D. These are: PBAR, BUDGET15, and ACCT. PBAR contains all projects which were financially active as of FY 74 and all subsequent financially active projects. PBAR also includes some planned and "shelved" projects. PBAR provides the core set of projects for PROJAUTH. To this set is added projects on BUDGET15 which do not appear on PBAR. These include planned and shelved projects as well as financially active non-project assistance (such as Commodity Import Support or PL480 Food for Peace programs). The ACCT database is used to provide obligation and expense amounts for project activities.

4.1.3.3 Update frequency

Historically, PROJAUTH has been updated annually around March, two to three weeks after BUDGET15 is updated. The current A.I.D. reorganization has temporarily interrupted this process.

A note about BUDGET15:

A.I.D. uses a database called BUDGET as a working file for preparing the annual Congression Presentation (CP). BUDGET contains proposed projects for the coming fiscal year (the "budget year") as well as new projects starts for the current fiscal year (the"operational year"). The CP is supposed to be presented to Congress in mid January although it is sometimes delayed. Two or three weeks after the CP is finalized, the data in BUDGET is loaded onto BUDGET15 and replaces the old BUDGET15. Therefore, BUDGET15 is updated annually, sometime between mid January and early March.]

4.1.4 Logical record structure

Each record on PROJECTS represents one project, designated by a 7-digit project number. If a project is made up of two or more subprojects, these are also given separate record, with a 9-digit project number. Thus, the projects database has two types of project records: the normal project record and the subproject record.

4.1.5 Disparate records.

The projects database was created in 1977 in a different system with different abstracting guidelines and record formats. Earlier records can be identified because they are shorter, uppercase, and less complete.

4.2 Individual Database Fields

Fields with tags beginning with E are from PROJAUTH; fields with tags beginning with K are from PJACSI2.

	ISN
INTERNAL SEQUENCE NUMBER	

Number in which the project was added to the Projects database.
Added automatically by the system. Unique identifier.

	P000
FULL PROJECT NUMBER	PROJ9

Max length 9. Fast access key (field extraction, keylength 10, no stripping necessary). Unique record identifier.

Format: GGGNNNNSS

GGG = A.I.D. geographic code. See the A.I.D. Geographic Code Book for valid codes.

NNNN = Sequence number.

SS = Optional subproject number

Example 1: Regular project 4970232.

PROJ9: 4970232

Example 2: A 2-part subproject.

For subproject 1 -

PROJ9: 936022501

For subproject 2 -

PROJ9: 936022502

For a general-level record for the project as a whole

PROJ9: 9360225

Exceptions

Commodity import projects should be recorded as they appear on the project paper. Example: 263K604. If both a grant and a loan number appear on the design document, enter, in order of preference, the number which is used on PBAR or the grant number.

P.L. 480 projects should be recorded thus: GGGPLNN.

GGG = A.I.D. Geographic Code
PL = The letters "PL"
NN = Two numbers representing the P.L. 480 title

Example: 263PL02

Housing guaranty projects should be entered thus: GGGHGNN.

GGG = A.I.D. Geographic Code
HG = The letters "HG"
NN = A two-digit sequential number which is part of the original HG number

Example: 263HG02

In the rare case in which a letter is used to designate a subproject, use the letters they assign, do not pad with zero on left.

Example: For subproject "A" of 5250223 -

PROJ9: 5250223A

Duplicate and recycled project numbers. When A.I.D. reuses a project number (generally, though not always, after the resumption of interrupted assistance to a country), either (1) add an A to the number of the newer project, or (2) if the earlier project is very old, convert its record to a "Document Only" project abstract, and use the 7-digit number for the new project.

Example:

On PROJAUTH:

Project 6600028: Agricultural Marketing Development

On the document at hand:

Project 6600028: Feasibility Surveys: Transport Development

Either change the project number to 6600028A for the document at hand or use 6600028 for the document at hand and sever the link between PROJECTS and DOCUMENT for the earlier design document for Agricultural Marketing Development.

Add a NOTE:

Duplicate (recycled) project number. (add to both records)

or

Duplicate project number; original title of 6600028 was Agricultural Marketing Development. For a description, see PD-AAA-000 in the Document data base. (add to new record only)

	P010
ROOT PROJECT NUMBER	PROJ7

Max length 7, fast access key (field extraction, key length 8, no stripping).

Comprised of the first 7 digits of PROJ9. Corresponds with root project number on PRJATHRD. For most projects, PROJ9 matches exactly the contents of PROJ7.

	P020
SUBPROJECT NUMBER	SUBPRJ

Max length 2.

If the record is a subproject, the subproject number entered in PROJ9 is also entered separately

in this field.

	P030
AID GEOGRAPHIC CODE	GEOCD

Max length 3, fast access key (field extraction, key length 4, no stripping).

Comprised of the first three digits of PROJ9.

	P040
AID GEOGRAPHIC NAME	GEONM

Max length 40.

Decodes P030/GEOCD. This field is for reporting purposes. The primary field to be used in searching on geographics is the descriptor field.

	P050
INDIX CD GEOGRAPHIC CODE	INDIXC

Max length 3, fast access key (field extraction, key length 4, no stripping).

Geographic codes from the INDIX code book. Data sent with records included on INDIX CD of projects from multiple donors.

	P060
PROJECT TITLE	PTITLE

Max length 100, fast access key (word extraction, max keys 12, key length 20, strip non-alphanumerics).

Represents the title of the project as stated in the design document from which the abstract is drawn.

P080

SUBPROJECT TITLE SPTITL

Max length 100. Same inversion specifications as P060/PTITLE.

Data should be entered here only when there are also data entered in P020/SUBPRJ.

P230
ORIGINAL LOP COST ORGLOP

Max length 6.

This represents A.I.D.'s total contribution to the project as recorded on the project data sheet of the original design document. Uses same format as E505/LOP.

The purpose of this field is to provide a comparison with current TOTAL LOP COST field.

P300
RELATED A.I.D. PROJECTS RELAID

Max length 9, repeating.

Contains project numbers of A.I.D. projects closely related to the one at hand. Does not include cross references to subprojects of the same project.

P330
NOTE NOTE

Max length 650.

Contains short notes such as -

Project never funded.

For administrative reasons, project number 5110455 was changed to 5110053.

Duplicated project number; authentic project number is 6600028.

P400
DESCRIPTORS DESCR

Nonrepeating, fast access key (term extraction, length of string to extract = 58, no stripping, associated thesaurus KSAM, THS5, max length 1400.

The length is set at 1400 to accommodate 41 descriptors from TEXT expanded to new thesaurus terms with an average length of 30 each (a high-estimate average) plus the delimiters.

Field contains primary, secondary, and geographic descriptors which reflect the subject content of the documentary unit.

For selection and entering of descriptors, see OM08, Abstracting and Indexing Guidelines.

P410
IDENTIFIERS/PROPOSED DESCRIPTORS IDENT

Nonrepeating, fast access key (term extraction, length of string to extract = 40, no stripping), max length 300.

Contains proposed descriptors and other non-thesaurus terms used to describe concepts not adequately covered by existing descriptors. Field also used to identify other donors and A.I.D. grantees participating in the project.

P420
NOTATION-DO NOT ENTER DATA NOTAT

Max length 20, fast access key (field extraction, key length 20, no stripping).

Used as a place holder for the Btree to allow truncated searching on notation associated with descriptor thesaurus terms. No data is entered in this field.

P430
ABSTRACT ISN ABISN

Nonrepeating, max length 6.

Stores ISN of corresponding project design abstract on PROJABST database. Used to link PROJABST with PROJECTS. When SDOCID (P460, below) is present, the ABISN is identical to the ISN assigned in the DOCUMENT database for this source document.

	P460
SOURCE DOCUMENT ID NUMBER	SDOCID

Max length 14. Alias: P440/SDOCID, RD=DOCABST.

This is the document ID number of the design document which is the source of the project abstract. For data entry format, see field DOCID, Document database, under Section 3.2.

This field is left blank under two conditions:

1. The project has not been abstracted.

2. The abstract is a "project-only abstract" (see OM08).

	P450
DESIGN ABSTRACT PROJECT NUMBER	PROJ9

Max length 9.

Used in document and prjdoc2 databases; not a part of projects.

Designates the project number for which the abstract is prepared. May also relate the abstract to the source design document on the document database.

Presence of data in this field also serves to suppress the printing of project design abstracts. This is necessary for two-part reports wherein the first part contains project records with design abstracts and the second part contains related documents and document abstracts. Use of this flag ensures that project abstracts are not printed twice - once in part one of the report and a second time in part two.

	P500
ABSTRACT	ABSTR

Repeating, subfielded field. Max length 3901. This field is the same as DOCABST C310/ABSTR, renamed in the PS PROJAB2.

Subfields -

PARA1	FIRST PARAGRAPH FLAG	P501
ABST	ABSTRACT PARAGRAPH	P502

	P501
FIRST PARAGRAPH FLAG	PARA1

Max length 1, subfield of ABSTR.

A flag of "Y" is stored in parallel with the first occurrence of P502/ABST. This flag is necessary in order to print the first paragraph only of the abstract -- for project abstracts, this constitutes the "overview" paragraph. To do this in PRINT, insert field P502 in print format, print by group = Y, check field id = P501, display while find check field = Y.

If MINISIS is ever enhanced to allow for printing of specific occurrences, P502/ABST can be reformated to a simple repeating abstract paragraph field.

	P502
ABSTRACT PARAGRAPH	ABST

Max length 3900, subfield of ABSTR.

Stores text of abstract paragraph.

Note: Field length set at 3900 to accommodate long, unparagraphed abstracts from old Inquire databases. Normally, abstract paragraphs are much shorter than 3900 characters.

LOGFRAME FIELDS:

Goal, purpose, outputs, inputs.

These are copied from the project's logical framework (logframe) which is usually printed in the back of the design document. In the past, if the design document did not have a logframe, the abstractor invented one. These old logframes contain an "I" as the last character of the field to indicate this.

GOAL	P520 GOAL

Max length 600.

PURPOSE	P540 PURP

Max length 1400.

OUTPUTS	P560 OUTPUT

Max length 3000.

INPUTS	P580 INPUT

Max length 3000.

PROBLEM	P600 PROB

Max length 540.

A single paragraph field describing the development problem the project is addressing. Problem statements are no longer being created.

STRATEGY	P620 STRAT

Max length 480.

A single paragraph field containing information such as project duration, funding type (grant or loan), recipient, major inputs (training, commodities, technical assistance), and project purpose. Strategy statements are no longer being created.

P900

DATE ABSTRACTED AND INDEXED DATEAB

Max length 10.

Contains date project abstract and index terms were entered onto database.

Format: YYYY-MM-DD

P940

DATE ABSTRACT LAST MODIFIED DATEMO

Max length 10.

Contains date project abstract was last modified.

Format: YYYY-MM-DD

P950

ACQUISITIONS NOTE AQNOTE

Max length 200.

Used by acquisitions staff to record notes with respect to obtaining documents related to this project.

P990

MULTI-FIELD INDEX-NO DATA MULTIF

Max length 100, fast access key (word extraction, key length 20, strip non-alphanumeric).

Used as a place holder for the Btree to allow one-step searching multiple fields which also have individual or smaller group Btrees. No data is entered in this field.

T200

MENUDIS TEXT FILE MTFILE

Max length 26.

Contains the name of a text file of renewable energy information associated with this project. This file can be displayed through MENUDIS.

ACTIVE AS OR 2/89	T300 ACTIVE

Max length 2, fast access key (field extraction, key length 2, no stripping).

Designates projects which were active as of February 1989.

DESIGN DOCUMENT AVAIL	T400 DDAVIL

Max length 14, fast access key (field extraction, key length 14, no stripping).

Enter NOT AVAILABLE if the design document is known to be unavailable.

SHORT PROJECT TITLE	E080 STITLE

Max length 40.

Project title as provided from the Inquire decode file or the PBAR database.

BUREAU SYMBOL	E240 BURSYM

Max length 4. Fast access key.

Symbol of bureau responsible for project.

BUREAU NAME	E280 BURNAM

Max length 40.

From Inquire decode file.

Bureau responsible for project.

DECISION UNIT NAME	E340 DECNM

Max length 40.

BEGINNING FISCAL YEAR	E380 FYBEG

Max length 2, fast access key.

ENDING FISCAL YEAR	E400 FYEND

Max length 2, fast access key.

STATUS	E440 STATUS

Max length 1, fast access key.

Valid codes are:

P = Planned
A = Active
C = Completed (Closed)
T = Terminated (Tabled)
S = Shelved

PROJECT TYPE	E460 PRJTYP

Max length 7.

Data are in thousands.

E500
FUND DATA FUND

Max length 18, repeating subfielded field.

Subfields -

PURPCD	PURPOSE CODE	E501
TECCDP	PRIMARY TECHNICAL CODE	E502
LG	LOAN/GRANT	E503
APRCD	APPROPRIATION CODE	E504
LOP	LIFE OF PROJECT COST	E505

E501
PURPOSE CODE PURPCD

Max length 4, subfield or FUND DATA.

See DISC Code Book for a list of codes and their meanings.

E502
PRIMARY TECHNICAL CODE TECCDP

Max length 3, subfield or FUND DATA.

See DISC Code Book for a list of codes and their meanings.

E503
LOAN/GRANT LG

Max length 1, subfield of FUND DATA.

Valid codes are:

L = Loan
G = Grant

E504
APPROPRIATION CODE APRCD

Max length 2, subfield or FUND DATA.

See DISC Code Book for a list of codes and their meanings.

	E505
LIFE OF PROJECT COST	LOP

Max length 8, subfield of FUND DATA.

Figure stored in thousands, no comma used.

(Data converted from Inquire may be padded on left with blanks.)

	E540
TOTAL LIFE OF PROJECT COST	TLOP

Max length 8.

Total of repeating field LIFE OF PROJECT COST (LOP). Same format as LOP.

	E550
TOTAL OBLIGATION	TOBLS

Max length 8.

Total amount obligated. Same format as LOP.

	E560
TOTAL EXPENSES	TEXPS

Max length 8.

Amount actually distributed. Same format as LOP.

	E580
SECONDARY TECHNICAL CODES	TECCDS

Max length 3, repeating.

See DISC Code Book for a list of codes and their meanings.

E600
SPECIAL CONCERN CODES SPECCD

Max length 4, repeating, fast access key.

See DISC Code Book for a list of codes and their meanings.

E640
SUBJECT CATEGORY CODE SUBCAT

Max length 4, fast access key.

See DISC Code Book for a list of codes and their meanings.

As of the 1987 update, these data were no longer available from the Inquire databases. Before the updating, these data were captured from the old PRJATHRD and added back into the database after updating.

E990
SOURCE SOURCE

Max length 8.

Records the primary source of the PRJATHRD record.

Examples:
PBAR

BUDGET15

K100
ACTIVITY CODE ACCODE

Max length 40, fast access key (field extraction, key length 40, no stripping).

Activity codes associated with this project. Downloaded from AID database.

K200

SPECIAL INTEREST CODE SICODE

Max length 40, fast access key (field extraction, key length 40, no stripping).

Special interest codes associated with this project. Downloaded from AID database.

4.3 Maintaining the Projects Database

4.3.1 Entering project records

All data items describing new projects are entered through files created on PCs and uploaded as part of the abstracting process. See Sections 8.4-6 of OM08.

4.3.2 Deleting project records

Use QUERY to determine ISN of project to be deleted.

Use DELETE/RELEASE to delete the project record. Since this record is a composite from three source databases (PROJRD, Logframe, DOCABST), this will require running the DELETE/RELEASE program three times, once on each source database.

The following example illustrates how project 4970999, with ISN 2134, would be deleted.

At the colon, type **reld**

The following will appear:

DELETE/RELEASE VERSION G.02.00 SAT, MAR 12, 1994, 1:51PM

ENTER DB NAME OR EXIT -

For PROJRD and Logframe, enter the respective database name and proceed asfollows:

TYPE 'HELP' FOR VALID COMMANDS

- function del
- verify yes*
- isn=2134 (the same is used for both PROJRD and Logframe)

*** TOTAL RECORDS DELETED = 1

For DOCABST, the procedure is different.

```
   - function del
- verify yes*
   - =proj9 4970999
       #1:  =P000 "4970999"                    P=1
   DO YOU WANT THIS RECORD DELETED?
   - y
   - exit
- $
   - exit

   *** TOTAL RECORDS DELETED = 1

   ENTER DB NAME OR EXIT - exit
```

Note how the DOCABST record was selected for deletion. A query formulation was used on PROJ9 instead of selection by project ISN; the ABISN from the projects database may also be used. This is important because **if you delete a DOCABST record using the project ISN you will be deleting the wrong record**. Note also that deleting the project abstract from DOCABST also deletes the abstract from the DOCUMENT database as well.

* While optional from a systems point of view, this is ALWAYS to be entered in order to avoid deleting the wrong record.

4.3.3 Modifying project records

There are two ways of modifying project records.

a. Using a PC word processor and uploading macro and the DOCMENU abstract loading process

This method, described in OM08, may be used to modify any field on the projects database (except for PROJAUTH fields). This method is preferable when extensive chanegs are involved.

b. Using MINISIS UPDATE processor

This method is advisable for minor changes such as correcting typos or adding one or two words to the abstract or logframe or altering the project title or descriptor fields. Besure you choose the correct database and the corresponding ISN. For changes to abstracts, use DOCABST and the ABISN. For changes to the logframe, use the logframe databse and the ISN. For other changes, use PROJRD and the ISN.

NOTE: Any changes made to PROJAUTH fields will be lost whenever the database is replaced with a new version.

4.3.4 How to change a project number

Here are some sample situations calling for a change in project number.

o A project number was changed by A.I.D.

o A wrong project number was assigned to a project paper and was discovered only after abstracting.

o A project-level record needs to be changed to a subproject-level record (i.e., a subproject number needs to be added to the root project number).

o A subproject number is incorrect.

o A.I.D. uses one number for two projects (see P000/PROJ9 description for how to handle duplicate project numbers).

To change a project number:

o Verify that there is not a project with the new number already on PROJECTS.

o Change the D100/PROJ9 field on DOCRD. Change all occurrences of old project number to new project number.

o Change the project number stored with the project abstract. To do this, UPDATE DOCABST, select the abstract using the query "=proj9 <old proj #>", and replace field P450/PROJ9.

o UPDATE PROJRD; replace fields P000/PROJ9, P010/PROJ7, P020/SUBPRJ, and P030/GEOCD as necessary.

o Review all abstracts related to the project. Any abstract which contains a reference to the old project number will have to be changed using the abstract modification process described in OM08.

o If necessary for historical purposes, use ENTRY to enter a record on PROJRD. Enter the following fields: PROJ9, PROJ7, GEOCD, PTITLE, SPTITL, RELAID, and NOTE (see the \ data element description for a sample note).

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6.0 Thesaurus

6.1 Thesaurus Overview

Purpose

The A.I.D. Thesaurus is a tool for the indexing and retrieval of technical and project document information processed by the Center for Development Information and Evaluation (CDIE) of the U.S. Agency for International Development.

These documents include: audit reports; conference proceedings; evaluations; feasibility studies; project design documents; research studies; sector assessments; technical reports; theses; working papers; and others.

Subject Coverage

The Thesaurus is multidisciplinary in scope. Among the subjects covered are: agriculture, communications, culture, demography, economics, education, energy, government and law, health, housing, industry, labor, management, natural resources, science and technology, sociology and psychology, trade, and transportation.

In addition to subject coverage, the Thesaurus contains descriptors for many A.I.D. management concepts and for other topics of special concern to A.I.D.

Proper names (with the exception of a few A.I.D. program names) do not appear in the Thesaurus; nor do geographical names below the country level.

The organization of the concepts in the A.I.D. Thesaurus is not intended to reflect A.I.D.'s programmatic divisions.

Sources

The UNESCO Thesaurus, OECD Macrothesaurus, DIS Thesaurus, RandD Keyword List, A.I.D. Special Concern Codes, A.I.D. Functional Subcategory Codes, and the A.I.D.-modified Library of Congress Subject Headings were the major sources used in compiling the A.I.D. Thesaurus. These sources were supplemented by the FAO AGROVOC Thesaurus, the UNBIS Thesaurus, and the SPINES Thesaurus, as well as by smaller keyword lists and classification schemes gathered from various offices at A.I.D.

Style

The Engineers Joint Council rules for the use of singular and plural word forms have been followed.

The plural form is used for count nouns (nouns about which one would ask "how many?"), and the singular form for mass nouns (nouns about which one would ask "how much?").

Descriptors that consist of two or more words are entered in their natural word order, e.g., AGRICULTURAL ECONOMICS, not ECONOMICS, AGRICULTURAL.

Scope notes and parenthetical expressions have been added to homographs and to terms that have more than one accepted meaning, e.g., there are two entries for the term, SPRINGS, each with a parenthetical expression which clarifies its meaning:

SPRINGS (WATER)
SPRINGS (MECHANICAL)

American spellings have been preferred over British, e.g., PROGRAMS, not PROGRAMMES.

The following abbreviations are used in the Thesaurus:

SN: Scope note
UF: Used for
USE: Use this term instead
BT: Broad term(s)
NT: Narrow term(s)
RT: Related term(s)

Thesaurus Structure

"Broad" (BT) and "narrow" (NT) term relationships are, for the most part, generic, i.e., the broader term denotes a class of which the narrower term is a member (e.g., BT: SHELLFISH, NT: LOBSTERS). However, the BT/NT relationship sometimes reflects part/whole (BT: NERVOUS SYSTEM, NT: BRAIN) or thing/process (BT: OIL DRILLING, NT: OIL WELLS) relationships, especially at the second level of hierarchy. This has been done to facilitate the online retrieval of large classes of information.

The thesaurus is polyhierarchical, i.e., a term may have more than one broad term, and appear in more than one subject area or "facet." The descriptor AGROFORESTRY, for example, appears in both the Agriculture and the Natural Resources facets. A term may also appear more than once in the same facet; the descriptor AMINO ACIDS appears twice in the Science facet, with the respective BT's: BIOCHEMICALS and NITROGEN ORGANIC COMPOUNDS.

The alphabetical display shows broader/narrower term relationships only one level up or down the hierarchical chain.

Associative relationships, or related terms (RT's), have been assigned solely on the basis of the

usefulness of the relationship, i.e., whether the user, upon finding a particular term in the Thesaurus, might like to be reminded of the existence of certain other terms.

All term relationships expressed in the Thesaurus are reciprocal:

* For each broad term there is a narrower term.
* For each narrow term there is a broader term.
* For each related term there is a reciprocally related term.
* For each "use" reference there is a corresponding "used for" reference.

Notation

Notation is described in the hierarchical, or structured, display of the Thesaurus (Section A) and appears with each descriptor in the alphabetical display (Section B). After finding a term and its corresponding notation in the alphabetical display the user can locate the term in the hierarchical display and see how it fits conceptually into the overall scheme.

The notation is mixed (it contains both alpha and numeric characters). The first position in each notation is an upper-case letter which shows to which of the 18 facets the descriptor belongs. The second and third positions in the notation are numeric and run from 01-99. They show the second level of hierarchy. Each subsequent position runs from 1-9 and/or from A-Z. The letter O is never used.

The stops (.) separating the notational sequence have been inserted simply to make it easier to recognize and remember the longer character strings. A05.G4 is easier to understand than A05G4.

It is important that the hierarchies are hospitable, i.e., able to accept new entries and to accept them at an appropriate position within the scheme. For this reason, deliberate gaps have been left in the notation.

How to Use the A.I.D. Thesaurus

None of the three Thesaurus displays stands alone. The three should be used together to give a complete picture of how a descriptor fits into the overall scheme.

The Hierarchical Display (Section A) shows:

* An overview of an entire subject area
* The depth of coverage given to a subject
* Where in the hierarchical chain to begin a broad search.

The Alphabetical Display (Section B) shows:

* Broad and narrow terms at one level of hierarchy
* Notation
* Related terms
* Scope notes
* Use and "Used for" references.
* Effective date, for new terms added after 6/85.

The Rotated Display (Section C) allows the user to find a multiword descriptor by looking for any one of its component words, e.g., TERMS OF TRADE can be found by looking either for TERMS or for TRADE.

The concepts in the A.I.D. Thesaurus are not highly precombined. This means that a complex subject such as "livestock marketing in Kenya" must be broken down into component concepts:

AGRICULTURAL PRODUCT MARKETING + KENYA + LIVESTOCK

Both indexers and searchers would enter these three, separate descriptors when processing or searching for documents on the topic of "livestock marketing in Kenya."

6.2 Thesaurus Maintenance

The Thesaurus is not a static document; it must reflect new areas of interest to A.I.D. New terms are added on a regular basis after having been reviewed and approved.

6.2.1. The Thesaurus Review Committee and the Thesaurus Update Suggestion Form

An A.I.D. Thesaurus Review Committee meets periodically to approve changes to the Thesaurus. The Committee has six members--the DIHF Thesaurus Coordinator, the CDIE/DI Thesaurus Coordinator, and one representative from each of the following staffs: DIHF Abstracting/Indexing; DIHF Cataloguing; the A.I.D. Library; and the Research and Reference Service. The main business of Committee meetings is reviewing the appropriateness of Thesaurus changes which have been suggested by indexers, researchers, Mission librarians, and others, including the Committee members themselves.

These suggested changes are generally received on Thesaurus Update Suggestion Forms. A copy of the form is found in the Thesaurus, and additional copies are distributed periodically by the DIHF coordinator to library and researcher staff and indexers and to others on request.

The DIHF Thesaurus Coordinator is responsible for calling the Committee meetings. Meetings are generally held twice a year, but can be held more frequently than this, or less, depending on the number (and, in some cases, urgency) of Thesaurus change suggestions which have been received.

Prior to a meeting, the DIHF Coordinator performs a preliminary review of the change suggestions; suggestions which are trivial or based on inadequate understanding of existing terms need not be

brought before the Committee. Copies of all Thesaurus Update Suggestion Forms to be considered at a Committee meeting should be distributed to Committee members at least a week before the meeting. Also, the Coordinator should do some pre-analysis of all suggested terms, e.g., searches on the title field and on existing related descriptors, free text searches of the abstract field, consultations with abstractors and editors.

Following a Committee meeting, the DIHF Coordinator is responsible for the following functions: (1) entering the changes approved by the Committee in the WORDS database; (2) re-indexing documents affected by changes; and (3) preparing notification of the changes to all Thesaurus users. These operations are explained in Sections 6.2.3-6.2.6.

6.2.2 The Words Database

All changes to the Thesaurus are made in the Words Database. A brief discussion follows of the database fields used in Thesaurus maintenance and of other important fields.

Field name: Main term Tag: W100

The Words database includes not only approved Thesaurus terms, but also all the terms that were considered for inclusion when the Thesaurus was constructed. There are more than 25,000 main terms in the Words database, only about 5,000 of which are actually in the Thesaurus. In some cases, a term may be included more than once in the database. For example, several of the thesauri and word lists used in building the A.I.D. Thesaurus included the term "AGRICULTURAL RESEARCH"; as a result, there several main terms: AGRICULTURAL RESEARCH. Only one of these is the actual A.I.D. Thesaurus term.

Field name: Source code Tag: W600

This field indicates the sources from which the main terms were drawn. There are seven source codes: IDIS (DIS Thesaurus); IRAN (RandD Keyword List); ILCS (A.I.D.-modified Library of Congress subject headings); IFUN (A.I.D. Functional Subcategory Codes); EMAC (Macrothesaurus); EUNE (UNESCO Thesaurus); and EJHK (other, including terms created at the DIHF). In these codes, the first letter "I" refers to an A.I.D. internal source; the first letter "E" to an external source.

Field name: T/FT/W Tag: N800

This field indicates whether or not a main term is an A.I.D. Thesaurus term, and if so what sort. Here is the code:

"T" = A.I.D. Thesaurus term
"FT" = A.I.D. Thesaurus forbidden term (i.e., Use reference)

"W" = A.I.D. Thesaurus forbidden term for a "T" already having an "FT". See Section 6.2.2.1.

"x" = former term, one of 485 deleted following a major postings review in 1988

"D" = former term, deleted any other point in time.

For all other main terms in the database, this field is blank.

Field name: Notation1 Tag: N140

Must be included on all A.I.D. terms ("T's") and nowhere else. The notation indicates a term's placement within the Thesaurus structure. Repeatable field, as a term can be included at more than one place in the hierarchical structure.

Field name: Broader Term Tag: N210

Must be included for all A.I.D. terms ("T's") except for the 18 terms that are at the very top of the Thesaurus hierarchies. Repeatable.

Field name: Narrower Term Tag: N220

Included where appropriate, only for "T's". Repeatable. All broader and narrower terms (BT's and NT's) must be reciprocal, i.e., for every BT there is a corresponding NT.

Field name: Related Term Tag: N230

Included where appropriate, only for "T's". Repeatable. All RT's must be reciprocal.

Field name: Scope Note Tag: N240

Included where appropriate, only for "T's".

Field name: Used for Tag: N400

Included for all "T's" having a corresponding FT. For example, for the term "HOUSEHOLD MANAGEMENT," the entry in this field is: HOME ECONOMICS. Repeatable. This field and N500 must be reciprocal.

Field name: Use Reference Tag: N500

Included for all "FT's". For example, for the forbidden term "HOME ECONOMICS," the entry in this field is: HOUSEHOLD MANAGEMENT.

Field name: Date added Tag: N950

This field was added in 1987, and is included for all A.I.D. Thesaurus terms added from that time hence. Data are entered in the following form: MM-DD-YY.

Field name: Any term Tag: N200

This field is included for descriptors that are the names of countries in the A.I.D. Geographic Bureaus. The field is used to allow searching using the "Any geographic tables" (e.g., searching for all Africa Bureau countries by entering "=any Africa").

Field names: Main term (Fr, Sp, Ru, Sw, Ar, Ge, Ch) Tags: T110/T170

These are non-repeatable notation fields which are used by the computer staff in loading the Thesaurus from the Words database onto MINISIS. These fields are maintained by the computer staff, but the DIHF coordinator must inform them of any notation changes.

Field name: Classification number Tag: N600

This field is for the A.I.D. Classification Scheme, a library shelving scheme based on Thesaurus notation. For terms having more than one notation, an entry in this field indicates which notation should be used for the Classification Scheme. (Note: Inauguration of the simplified USAID Classification Scheme in 1988 may eventually make this discussion and that of the following 3 fields largely academic, but as of this writing (10/88), the A.I.D. Classification Scheme is in use at some sites.)

Field name: Clasno present Tag: N610

Just a tag field to show if the above field is present or not.

Field name: See message Tag: N640

This is also for the Classification scheme. Some highly specific Thesaurus terms are included in the Classification scheme only as "See" references. N650 is a tag field for this.

Field name: Words/Class Tag: W700

This is a tag field for the new USAID Classification Scheme. (The scheme itself is in its own database.) A "Y" in this field means that the term is included in the scheme. Terms with a "Y" should

not be deleted from the Thesaurus without consulting first with the DI staffer responsible for maintaining that scheme.

6.2.2.1 "W" terms

The Thesaurus computer structure allows only one forbidden term for every term (one FT for every T). To get around this limitation, as is sometimes desirable, "W" terms were invented to serve as a second FT, where needed (e.g. COLEOPTERA needs use references at both "BEETLES" and "WEEVILS". "W" terms can also direct users to a combination of preferred terms (e.g., FERTILIZING--USE: FERTILIZERS and CROPPING SYSTEMS) or they can direct users to a whole range of terms (e.g., MEDICAL PERSONNEL--For specific occupations, see narrower terms under HEALTH PROFESSIONALS or PARAMEDICALS). "W" terms appear only in the printed version of the Thesaurus, not online.

When adding a "W" term, use the Scope Note field, not the Use field, to direct users to the preferred term(s). If a corresponding reference is included with the preferred term (as has been done for COLEOPTERA in the first example), this also should go in the Scope Note field.

Because W terms are outside of the Thesaurus structure, and because their "use references" are not reciprocal, they require special attention in Thesaurus maintenance. E.g., in the second example given above, there is no reference to the W term "FERTILIZING" in either the Thesaurus term "FERTILIZERS" or the Thesaurus term "CROPPING SYSTEMS". For this reason, all W terms should be reviewed whenever Thesaurus changes are made.

6.2.3 Making Changes to the A.I.D. Thesaurus

6.2.3.1 Adding new terms

To add a new term, first define its broad term(s) and notation(s), and as necessary, narrow term(s), related term(s), scope note, and use reference. Using the update processor, search the Words database to determine if the new term already exists as a main term. If so, add the term to the Thesaurus by: adding "T" to Field N800; entering the BT and notation in the appropriate fields; adding other fields (NT, RT, etc.) as needed; and adding the "Date Added" field. If the term is not already in the data base, you must first add it as W100, and then the other necessary fields.

Generally, all terms approved at any one Committee meeting are given the same "Date added," even if the work is not all physically accomplished on the same day. The date is chosen to coincide as closely as possible with the day on which the computer staff will make the changes effective on the PROJRD and DOCRD databases.

Next, make the necessary reciprocal changes for the new term's BT's, NT's, RT's, and USE reference. For example, if a new term "FAMINE EARLY WARNING SYSTEMS" has the BT "WARNING SYSTEMS," the record for the Thesaurus term "WARNING SYSTEMS" should be modified to include "FAMINE EARLY WARNING SYSTEMS" as an NT. If the new term has "NT's" which

"pre-existed it," the notations of these should be adjusted.

If the term you are adding has more than one notation, choose the primary (most significant or most concrete) notation to be entered in the CLASS field.

If changing a country name (e.g., adding BURKINA FASO as the preferred term for UPPER VOLTA), make sure the Any term (in this case Africa) is deleted from the old term (formerly "T", now "FT") and added to the new.

The stream job RECIPCK should be run to check that the reciprocal relationships are correct.

Finally, review "W" terms to make sure none require modification as a result of your changes.

6.2.3.2 Other changes

Other changes (e.g., adding a forbidden term, or adding or deleting RT's or scope note from existing terms, etc.) follow basically the same operations. Deleting a term is the same, but reversed. The important thing is to remember to make all reciprocal changes, and to carefully proof all changes.

6.2.4 Coordinating with the Computer Staff

Advise the computer staff of all the changes that have been made, and find out from them on what date they will be able to make the changes effective on DOCRD and PROJRD. The computer staff will decide whether they wish to reload the entire Thesaurus or to manually make only the specific changes (depending on the extent of the changes).

6.2.5 Informing Users of the Changes

Prepare a memo outlining the changes, to be disseminated a few days before they will be made effective. The memo should inform users at minimum of the new terms, their BT and notation; of deleted terms; of other changes; and of terms that were considered by the Thesaurus Committee but not approved for inclusion in the Thesaurus. Many times these nonapproved terms are allowed to remain as proposed descriptors in the Ident field (with new citations being added as appropriate) so that demand for the term can be tracked for possible later Committee re-consideration. Users should be informed if this is the case.

The above information can be provided either as a simple memo, or a combination memo and database print-out of new/changed terms. Print format thespf7.pf can be used for the latter, or if Pagemaker is to be employed, theslas.pf.

Also, when the changes are made effective, ask the computer staff to announce this in the HP-3000 welcome message.

6.2.6 Reindexing

Thesaurus changes often demand that a certain amount of reindexing of DOCRD and PROJRD records be performed. Database searches should be done to determine on what records the new term would be appropriate. Basically, this consists of searches of the Ident and Title fields, and in some cases, searches for and quick reviews of records that have been indexed with like terms. E.g., if the term "Famine early warning systems" is being added to the Thesaurus, a search should be of the descriptor 'Warning systems" when used in conjunction with the descriptor "Famine" and perhaps also with certain "food" descriptors such as "Food supply." How extensive these searches should be depends on the returns they are likely to yield. Deletion of a term always requires reindexing (assuming the term has been applied). Reindexing is done when the new terms are effective, but hitfiles of records requiring specific changes should be built ahead of time.

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7 Other authority files

7.1 Institution authority file

7.1.1 File structure

The institution authority file, INSTDS, is a MINISIS data submodel (DS) made up of two components. The KSAM component, INST, stores the institution name, city, country, and type code. The primary KSAM key is the 6-digit authority code. The MASTER format component, INST2RD, stores the AID office symbol and cross reference notes. The ISN of the DS record matches the authority code.

The authority file is divided into KSAM and master components in order to minimize the KSAM record size used in the DOCUMENT DS. The DOCUMENT DS joins only to the KSAM component and not to INST2RD. The RD INST can be copied and tags renamed for use in DS joins. In the DOCUMENT DS, the DOCRD fields B224, B324, and B614 contain authority codes which are decoded by left inner joins to INSTB22, INSTB32, and INSTB61 (all redefinitions of the INST RD).

The structure of the DS is as follows:

I000/CODE (INST2RD) < + I000/CODE (INST)

INST2RD was made the root of the join because of a bug in MINISIS (with INST as the root, the last DS records entered are not available in Query until a record is entered with data falling into the INSTRD component). Thus, there is an INSTRD record for each institution, redundant data being I000/CODE. This arrangement does, however, allow one to recycle unused ISN's by running garbage on the INSTRD component.

It was necessary to invert INST2RD I000/CODE field not for searching but because of a problem in MINISIS. If INST2RD I000 is not inverted, the "display" command in Query, when applied to I100/NAME field, displays garbage. For the "display" command to work properly on a KSAM field such as I100, the root of the DS must have at least one inverted field.

The idea of having the authority file as a single master format database (ISN serving as the code), and joining to PS's of that database, was rejected because joins to PS's are much slower than joins to KSAM RD's.

7.1.2 File maintenance

INSTDS is the database name to use for most functions (ENTRY, MODIFY, QUERY, PRINT, etc.). The RELEASE/DELETE processor does not allow deletion of a DS record. Therefore, to delete an INSTDS record, the corresponding records on INST and on INSTRD must be deleted

individually.

Autonumbering is off for INSTDS so that codes may be pre-assigned to institutions before using ENTRY.

7.1.3 Entry guidelines/data element descriptions

The person in charge of maintaining this file will use AACR2 guidelines as to form of entry, as well as guidelines from Standard for Descriptive Cataloging of Government Scientific and Technical Reports, by the Committee on Scientific and Technical Information (COSATI). Corporate Author Headings, also by COSATI, is another reference to be consulted.

Invalid institutions receive their own record and point to the preferred entry.

Data elements in INST component:

I000
AUTHORITY CODE . . . . . CODE

Max length 6. Primary KSAM key.

Contains institution authority code. Same as ISN of record. Six numeric characters, right justified, padded on left with zeroes.

I100
INSTITUTION NAME . . . . . NAME

Max length 170. Non-repeating. Field inverted in the INSTDS project list (word extraction, strip non-aphanumeric characters, root name of stopword file - STP0).

Records parent institution name and sub-body, or just institution name if there is no subordinate body.

Note: This differs from the IDRC model in that IDRC recommends storing only the name of the parent institution in the authority file and entering subordinate bodies in the document record itself. The relevant fields from the IDRC model are:

B221 Institution DU - Name
B225 Institution DU - Sub-body
B321 Institution GD - Name
B325 Institution GD - Sub-body

Enter official name. If unavailable, enter name as it appears on the documentary unit. When an

institution has official names in more than one language, enter, in order of preference

- the English version
- the name in the language of the document
_ the name in the language of the country in which the institution is located.

Separate entries should be made for each official language version of the name. These should be linked by "see also" references.

Capitalize the first letter of all significant words in the institution name.

Government offices should be entered as presented in descending hierarchy.

Enter agencies and departments through which the basic legislative, judicial, and executive functions of government are exercised following the name of the government. Examples:

U.S. Agency for International Development
Singapore. Ministry of National Development
Bolivia. Ministerio de Planeamiento y Coordinacion

For state, provincial, regional, and municipal governments, add the appropriate qualifier in parentheses following the name of the government. Examples:

Sind (Province). Department of Agriculture
Uttar Pradesh (State). Department of Social Welfare

Omit unnecessary words such as "Incorporated" or "Corporation".

Sub-bodies

A subordinate body is one which is administered by a parent institution at the same location. Subordinate bodies include:

- a teaching or research department or unit of a university

- a library of a university, association, government department or international body
- a committee of a government, university, or association
- a division or branch of a government ministry
- a branch of an association
- a USAID mission
- an AID/W bureau

Include intermediate levels of a corporate hierarchy when using the lowest level alone does not

distinguish the entity. These sub-bodies should be separated by a period. Exception: Always include the bureau name for AID entities.

Note: For AID entities, divisions under the office level are most often ignored.

I300
CITY/STATE . . . . . CITY

Max length 40. Non-repeating.

Note: Equivalent fields in IDRC model: B222 (Institution DU City) and B322 (Institution GD - City).

City where the institution is located. Use the English language version of the city. For US cities, follow the name of the city with a comma, space, and the two-letter postal abbreviation for the state (see DIHF Code Book). For foreign institutions, enter the province or other administrative unit only when necessary to eliminate ambiguity.

Examples:

Portland, ME
Washington, DC
Belize City

Add the name of a city in which a suburb is located if the suburb is not well-known. Separate the suburb from the city by a comma and a space.

Examples:

Clayton, Melbourne
Diliman, Quezon City

Note: City names are ignored for government bodies. This relieves the necessity for new entries for governmental sub-bodies at different locations.

I310
COUNTRY CODE . . . . . CNTRY

Max length 2. Non-repeating.

Note: Equivalent tags in IDRC model: B223 (Institution DU - Country Code) and B323 (Institution GD - Country Code).

ISO code of country in which the institution is located. See DIHF Code Book.

I330
TYPE CODE . . . . . TYPE

Max length 2. Non-repeating.

Codes yet to be defined.

Data elements in INST2RD component

INTERNAL SEQUENCE NUMBER . . . . . ISN

Unique number assigned to each record by the entry operator. The ISN is one of the points of direct access to a record.

I000
AUTHORITY CODE . . . . . CODE

Max length 6. Consistency check flag is on.

Contains institution authority code. Matches ISN of record (consistency check flag is on). Six numeric characters, right justified, padded on left with zeroes.

Joins with I000 of INST component.

I400
AID OFFICE SYMBOL . . . . . SYMBOL

Max length 40. Non-repeating.

Enter the official AID office symbol for AID entities.

Examples: LA/USAID/Guatemala
S&T/DIU

I500
AID BUREAU . . . . . BUREAU

Max length 76. Non-repeating.

For AID entities only, contains the bureau name. Do NOT include the words "Bureau for".

I550
AID MISSION/OFFICE . . . . . OFFICE

Max length 76. Non-repeating.

For AID entities only, contains the mission or office name. Do NOT include the words "Office of" or "USAID/".

I600
NOTE . . . . . NOTE

Max length 200. Non-repeating.

Records note about the institution.
?Provide examples

I700
SEE REFERENCE . . . . . SEE

Max length 200. non-repeating.

Records see references for non-preferred forms of institution names. Presence of data in this field indicates that the institution name field (I100) contains a form of the institution name which should not be used.

Example:

I100: PADCO
I700: Planning and Development Collaborative International

Print formats should use a preliteral "See: ". The authority code should be printed with I700 as the check field (display while find = no) so that codes will appear for only preferred entries and codes for non-preferred entries will not be mistakenly entered in the document database by catalogers.

7.2 Bibliographic type codes

Database name: BIBTYPE
Root file name: BIBT
File type: KSAM

Purpose: Decode field D010, Bibliographic Type Code. Note: Bib type codes will be revised in the future. See DIHF Code Book for the current list of valid codes.

D010
BIBLIOGRAPHIC TYPE CODE . . . . . BIBTYP

Length 2.

Contains two-digit bibliographic type code.

D020
BIBLIOGRAPHIC TYPE NAME . . . . . BIBNAM

Length 40.

Contains full bibliographic type descriptor.

Note: Length of field is limited to 40 so that it will fit in the microfiche header format.

7.3 AID Geographic Codes

Database name:	AIDGEO
Root file name:	AGEO
File type:	KSAM
Purpose:	Decode field C100, AID Geographic Code, for production of fiche header.

C100
AID GEOGRAPHIC CODE . . . . . GEOCD

Length 4.

Contains three-digit AID geographic code.

C110

AID GEOGRAPHIC NAME . . . . . GEONM

Length 40.

Contains the decoded AID country name or bureau name.

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8 Abstracting and Indexing

8.1 General Abstracting Guidelines

Abstracts for the DISC are prepared in accordance with generally accepted abstracting procedures as adapted to the specific purposes of the DISC.

8.1.1 The Nature of an Abstract; Informative and Annotative Abstracts

An abstract is an abbreviated objective representation of a document without added interpretation (NTIS). An abstract is basically informational in nature, that is, its sole purpose is to communicate objectively to the reader the information contained in a given document.

Abstracts may be either informative (analytical) or annotative (indicative).

> **Informative abstracts**, which are abstracts in the strict sense of the term, present a condensation of the document's conceptual content, i.e., what the document states about its subject matter. Such abstracts are written "from within" the document.
>
> **Annotative abstracts**, which are abstracts in a derived sense, indicate the subject matter and the principal divisions of the subject matter covered by the document ("table of contents"). Such abstracts are written "from outside" the document.

Although many abstracts combine both informative and annotative features, these two definitions express substantively different approaches which result in notably different types of abstracts.

8.1.2 The Characteristics of Abstracts

The abstract's informative nature determines its characteristic features both in relation to its document and as a piece of writing in itself.

8.1.2.1 The Abstract in Relation to its Document

In relation to its document, an abstract is characterized by essentiality, objectivity, accuracy, and proportionality.

8.1.2.1.1 Essentiality

An abstract condenses the essence of a document, that is, its substantive and most important information. Abstracting thus requires the ability to focus on what is primary and essential and to separate this from what is secondary and peripheral. Essentiality especially characterizes the informative abstract (which is why this abstract is also called analytical). Thus, "the abstract

should indicate the document's major emphases, distinguishing between major subjects and not dwelling on minor points" (NTIS). The document's length, it should be noted, is not an infallible index of the amount of important information it contains.

8.1.2.1.2 Objectivity (adapted from NTIS)

The abstract is intended as a factual and objective representation of the original document, not as a critical review. It is essential, therefore, that the words chosen by the abstractor neither introduce biases or subjective feelings nor evaluate, interpret, or draw conclusions from the material presented. Objectivity requires the abstractor to avoid qualifying the document, e.g., as "excellent", "unusual", "authoritative", etc.

8.1.2.1.3 Accuracy

Accuracy, which is akin to objectivity, signifies that the abstract relates without error the information given in the document.

8.1.2.1.4 Proportionality (adapted from NTIS)

To reflect most accurately the contents of the original document, the abstractor must not only distinguish what is essential from what is peripheral, but must also consider the relative proportions assigned in the document to this essential information and "weight" the abstract accordingly. In this way the document will faithfully represent its original both in content and in emphasis. Useful for this purpose are phrases such as "emphasis (or focus) on", "the paper's major portion", "the report is largely devoted to", etc.

8.1.3 The Abstract as a Piece of Writing in Itself

An abstract should possess the basic qualities of any good piece of prose writing, although some features are particularly important by reason of the abstract's informational nature and purpose.

A well-written abstract is a harmonious whole, clear and precise in its meaning and is characterized by concise language, correct grammar, and smooth diction.

8.1.3.1 A Well-Constructed and Harmonious Totality

Like any good piece of prose, an abstract must have a beginning, a middle or body, and a conclusion. (This order, be it noted, does not necessarily correspond to the order or construction of the original document.) An abstract is not a random aggregate of disparate parts, but a totality composed of parts put together carefully and harmoniously. For this purpose, the making of proper logical and verbal connections (that is, connections between ideas and between sentences or parts thereof) is an absolute necessity. It is useful and, given the inherent brevity of an abstract, often necessary, to treat together information items scattered throughout the document on a given subject. A completed abstract should read through from beginning to end in one

smooth and coherent flow.

8.1.3.2 Clarity and Precision

It is the abstractor's duty to present the reader with a piece of writing that is totally clear and unequivocal in its meaning both as a whole and in its individual sentences and their parts (to the extent that the document allows it). The abstractor must remember that the reader comes to the abstract "cold", that is, without present access to the original document, and so without the possibility of checking the document to clarify an uncertain meaning. Any such checking must be done by the abstractor in preparing the abstract. A good rule of thumb is: *Never make the reader ask a question.* The abstractor's task is to inform, not engage in a discussion. To this end, the abstractor must at all costs avoid vague expressions, indefinite references, and dangling participles.

Harmony and clarity are best served by unremitting efforts to compose an abstract according to a strict, logical **structure** and to locate specific **detail** within this structure. To this end, it is consistently necessary to distinguish major blocks of information and to correctly locate individual information items within these blocks and in relation to each other according to the inclusion of species within genus.

8.1.3.3 Conciseness

Of all the features of fine writing, conciseness is the one most characteristic of abstracts. It is the abstractor's duty to make maximum use of this limited space by choosing at all times the briefest and most economical means of expression. Verbiage is a rank (but recurring) growth that must be pruned away relentlessly. Some examples (from NTIS):

instead of:	use:
The fact that he had not succeeded	his failure
in order to	to
is responsible for determining	determines
for the purpose of	to
in the event that	in case (or) if
in a quiet manner	quietly
Participants in the project included	Participating in the
the following	the project were

8.1.3.4 Grammar

An abstract is written in full, correct English sentences, with observation of all grammatical rules, e.g., regarding sentence construction, spelling, agreement of subject and verb, use of subordinating conjunctions, and punctuation.

8.1.3.5 Diction

Good and indeed "elevated" diction is a feature of a well-made abstract. This implies not only the strict avoidance of slang terms and contractions, but also the positive use of those means commonly used by good writers to avoid turgidity and awkwardness and to achieve harmony and style, e.g., parallel construction, variety of expression, and vivid rather than colorless language (within, of course, the limits of strict objectivity). A good abstract must be dignified, but it need not be boring.

8.2 Specific Guidelines for Writing Abstracts for the DISC

8.2.1 Purpose of the Abstract

Abstracts of A.I.D. documents serve as an informational tool in A.I.D.'s achievement of its overall development assistance goals. Specifically, the abstract is intended to give the user of the A.I.D. information system substantive access to A.I.D.'s development experience in order to improve the design, implementation, and evaluation of future development policies, programs, and projects.

8.2.2 Content and Length

The abstract's content and length depend on the nature of the document abstracted and the document's importance as a record of A.I.D.'s development experience.

Regarding length, abstracts are either: (1) full-length, informative abstracts, defined as having about 500 words; or (2) half-length, quasi-annotative abstracts, defined as having about 200-250 words.

8.2.3 Grammatical Norms and Conventions

In general, grammatical norms of the Government Printing Office (GPO) Style Manual are to be followed in preparing A.I.D. abstracts.

Specific norms and conventions are as follows.

1. Periods and colons are to be followed by two spaces. This norm may be disregarded only when entering very long logframes.

2. For the sake of clarity, use is <u>invariably</u> to be made of the series comma, i.e., a comma is to be inserted before the last item in any series. For example, instead of: " ... policies, programs and projects", write: " ... policies, programs, and projects."

3. Series may be enumerated by numbers surrounded by parentheses, e.g., (1) ... (2) ... (3) .... An "and" is to be inserted before the final member of the series. For the sake of clarity, enumeration should be used in the case of longer series.

4. Acronyms may be used if the term to which they refer is spelled out in full at its first appearance or if the entity in question is in some way identified, e.g., "CREDICOOP, a Paraguayan national credit cooperative". Certain common acronyms need not be spelled out, however. These include: A.I.D. (as well as its bureaus and their divisions, e.g., Global/PRE (although not officer titles), NATO, UNESCO, U.N., IMF, CARE, GNP and GDP, OPG, FY, P.L. (e.g., 480), TA (technical assistance), IUD, TDY, PASA, RSSA, and R&D. The "invention" of acronyms for recurring terms or concepts in a specific document (e.g., "FSR" for "farming systems research" and "OFWM" for "on-farm water management") is permitted, though sparingly, lest clarity be compromised. The invention of acronyms for single-word terms or concepts, however long or recurring, e.g., "CONTRA" for "contraceptive" is never permitted.

The acronym for the Agency for International Development is always entered "A.I.D.", except when reference is made to A.I.D. Missions, which are designated as "USAID". To indicate Missions in specific countries, immediately add to "USAID" a slash and the first letter of the country in question (not the city in which the Mission is located), e.g., "USAID/E" for the Mission in Egypt, "USAID/B" for the Mission in Bangladesh, etc.

"United States" as a noun is to be spelled out in full; as an adjective, the abbreviation "U.S." is used. Thus: "Ten technicians received training in the United States." But: "U.S. training was given to 10 technicians."

For the use of acronyms in ARDA abstracts, see note 7 in Section 8.2.5.1.2.2 below.

5. All numbers signifying units of time or measure are entered in arabic form, e.g., 300 ha, 4 person-months. In other cases of enumeration, numbers over nine are also entered in arabic form, but the numbers one through nine are to be spelled out in full except when the abstractor is pressed for space, or is presenting a series of numbers, or when spelling out would result in an awkward asymmetry. Thus, instead of "Training was provided to 25 extensionists, 800 farmers, and eight Ministry of Agriculture personnel", write "Training was provided to ... and 8 Ministry of Agriculture personnel."

Numbers are to be spelled out when they occur at the beginning of a sentence.

6. To indicate sums of $1 million and above, use the words "million" and "billion" (e.g., $21 million, $4.5 million, NOT: $4,500,000). This rule also applies to other numerical quantities, e.g., 1.2 million ha, 4 million MTs.

In entering currency amounts, use "$" for U.S. dollars. For foreign currencies, use the alphabetic ISO (International Organization for Standardization) currency code). Place the currency code before the currency amount. Use commas to separate thousands, e.g., KRW 10,000.

7. Compound nouns consisting of two complete words or of a complete word and a prefix (including "sub-", "mid-", and "non-"), as well as compound adjectives consisting of a complete word and a prefix, are generally not hyphenated. Thus, write: "decisionmakers",

"recordkeeping", "nonagricultural", "semiarid", "subproject", "agroforestry", "inservice", etc. However, a hyphen is to be inserted: (1) in compound adjectives consisting of complete words (e.g., long-term, project-level, off-farm) or of a complete word and a prefix when the complete word is capitalized (e.g., sub-Saharan); (2) when the hyphen is needed to avoid alienating sound or sense (e.g., non-native, agro-industrial, in-country, etc.); and (3) in compound terms of time or measurement (e.g., person-years). When in doubt, consult the editors.

8. Capitalization should generally be restricted to geographical names and official titles, e.g., Asia, Government of Indonesia, Minister of Agriculture. Merely generic names or titles (e.g., less developed countries, government ministries, agricultural extensionists, hydraulic engineer) are not capitalized even if they are capitalized in the document being abstracted.

9. Commonly accepted abbreviations are to be used for units of measure (e.g., kg, km, ha, ft, MT, sec, ppm), academic degrees (e.g., B.S., M.S., and Ph.D.), and business entities (e.g., Corp., Co., Ltd.).

8.2.4. USAID Documents

A.I.D. documents are of two kinds: project documents and technical (R&D) documents. Project documents are subclassified into design documents and evaluative documents. A classification of A.I.D. documents by bibliographical type is provided in the A.I.D. Bibliographic Code List.

Abstracts of both A.I.D. project and technical documents are entered onto A.I.D.'s computerized Development Information System (DIS) for retrieval, either online or via CD-ROM, by A.I.D. and non-A.I.D. personnel engaged in the design, implementation, and evaluation of development assistance programs and projects. In addition, abstracts of technical documents are published in the A.I.D. quarterly, A.I.D. Research and Development Abstracts (ARDA), and in other special bibliographies.

8.2.5 Abstracting for the DIS

8.2.5.1 Types of Abstracts

Abstracts are divided into two general types: abstracts of A.I.D. projects and abstracts of A.I.D. documents. These general types cover a variety of subtypes, as noted in the following sections.

8.2.5.1.1 Abstracts of A.I.D. Projects

Abstracts of A.I.D. development projects are intended to provide a coherent and detailed account of an A.I.D. project as originally conceived and approved by A.I.D. for implementation in the field. To the extent possible, such abstracts are to be based on an authorizing design document, and in particular on the original authorizing document.

Abstracts of A.I.D. projects take various forms, as noted below.

8.2.5.1.1.1 PROJECT Abstracts Based on the Original Design Document

PROJECT abstracts are based on the original authorizing design document and are entered into both the PROJECTS and the DOCUMENT databases. Reference to the design document (the SDOCID field in PROJECTS, the P450 field in DOCUMENT) serves as the link between the two databases.

The principal types of these design documents are as follows:

Project Paper (Bibtype 42);
Program Assistance Approval Document (PAAD) (47);
Project Grant Agreement (Pro-Ag) (38);
Loan Agreement (37) -- generally for old projects;
Housing Guaranty Program Document (HGPD) (46);
A.I.D. Grant/Cooperative Agreement (non governmental) (81)*
Authorized Proposal (02) -- provided it can be determined (as happens rarely) that the proposal was in fact authorized;
Project Authorization (Bureau Bibtype 28), preferably with an Action Memo (50) attached;
PROP (43) -- old projects only;
Loan Paper/Capital Assistance Paper (57) -- old projects only.

* Grants (81) that do not cover the entire project, e.g., individual OPGs in PVO umbrella projects, are used to prepare "Document Only" Abstracts. See below, 8.2.5.1.1.5.

Content and Format of PROJECT Abstracts

PROJECTS abstracts are given full-length, informative abstracts and are written in the future tense or some equivalent thereof (e.g., "It is expected that ...".

PROJECTS abstracts consist of two parts -- a relatively brief first part, called the Overview, and a longer and more detailed second part, called the Narrative.

Overview

The Overview, which is intended to provide users with a summary view of the project as a whole, is written as a single paragraph generally not exceeding seven lines in length. The Overview should include the following information:

* the project's purpose (or major output) and country;
* the project's main components or outputs, as well as its scope;
* the designated implementing agency, where applicable;

* any project intrinsically related to the project being abstracted, i.e., when the present project builds on, expands, or applies the results of a previous project, e.g., by testing a previously developed technology.

Narrative

The Narrative, which is an expansion of the Overview, is intended to provide the user with a detailed account of what the project will achieve concretely, who will achieve it, and the process by which this will be accomplished.

Written in several paragraphs, the Narrative contains the following information:

Primary information items:

* the project's output targets, given in as much quantitative and contextual detail as space permits;
* activities performed by project implementors in order to achieve said targets;
* direct beneficiaries of the project.

Secondary information items:

* special development concerns addressed by the project (e.g., women in development, self-help, the environment, other social, cultural, economic effects or concerns.
* key assumptions that are stated in the document with a degree of reservation (e.g., regarding the host government's ability to contribute to the project).

Tertiary information items:

* other donors, especially the Peace Corps, participating international organizations (such as the World Bank, the United Nations and its agencies, and the International Monetary Fund), and PVOs;
* host country contribution;
* cost data, but only as provided in Note 6 below.

NOTES

1. In preparing PROJECT abstracts, the abstractor should focus on those sections of the design document which directly provide substantive design information.

Primary loci to be consulted in abstracting Project Papers and HGPDs are: the facesheet, table of contents, and logframe; the short and especially the detailed project descriptions; technical analyses; and the sections on project management and implementation.

Primary loci to be consulted in abstracting PAAD's are the facesheet, the program description, and the sections detailing specific program conditionality (see note 8 below).

In Grants (of all types), the substantive design information is generally found in the third and final section of the section of the grant. This section is usually labeled an Annex and is entitled "Detailed Program Description".

2. For purposes of clarity, the structure of the Narrative should, as far as possible, parallel the Overview, i.e., each project component or output listed in the Overview should in the Narrative receive a separate paragraph expanding its meaning in greater detail. The order of these paragraphs should be the same as the order in which the components or outputs are listed in the Narrative.

3. Formulation of the project's purpose -- to which the project's title, even more than the logframe, is generally the key -- should be as concise and specific as possible.

In projects aimed directly at establishing a physical or organizational entity, a statement of this intent generally suffices to indicate the project's purpose if and when the development significance is self-evident, e.g., "Project to upgrade 412 km of farm-to-market roads in Tanzania"; "Project to help the Government of Egypt establish a national Tax Reform Institute."

Mere repetition of the design document's formulation of the project's purpose is almost always to be avoided.

The scope of the project can refer, depending on the project, to geographical scope (e.g., the regional, national, or intra-national levels), and/or to the number of beneficiaries (e.g., 34,000 small farmers in the Arusha region), and/or to the extent of project activity within a larger development thrust (e.g., a pilot project).

4. Regarding primary information items: special attention should be paid to a project's training, education, and research elements, even when such elements are spin-offs (of a significant nature) rather than direct outputs of the project.

Primary information items should never be omitted completely. If necessary, however, they may be included generically rather than specifically, according to the principle of generic inclusion. When a non-inclusive list is provided, the reader should be alerted to this fact by the abstractor's use of such terms as "inter alia", "such as", and the like.

Regarding project management and administration, it is important to identify -- by name where possible -- the agencies, institutions, and groups who will actually implement the project, as well as particular management processes (e.g., a "bottom-up" approach) to be employed in the project. It should be noted that the "other donors" listed under tertiary information items signify not those who implement the project but those who support it with contributions of money, materials, or

personnel.

5. The division into primary, secondary, and tertiary information items is meant to be applied intelligently, not slavishly. A certain level of detail in describing project outputs, for example, can and should be foregone if space is needed to specify the project's development purpose or sector goal (which is often inseparable from identification of the project's beneficiaries). On the other hand, there is no need to mention beneficiaries separately if they have already been identified implicitly, e.g., as in formal institution-building projects.

Likewise, distinguishing between secondary and tertiary items requires good judgement. In many cases, references in the design document to special development concerns or to host country contribution are purely formal and perfunctory; such material is often best omitted altogether. This material can be substantive, however, e.g., if A.I.D. is funding only part of a large, multi-donor project, or if the host country contribution is a key assumption for project success. In such cases, the material should be included in the abstract in order to provide a faithful picture of the project as a whole.

6. Financial information is included in PROJECT abstracts only in the case of Cash Transfers or when needed to indicate important differences in funding allocations within the project (e.g., $30 million to one component, $3 million to another).

7. Abstracts of research projects should note the state of research at the time of project initiation. This can be done while specifying the development problem in the Overview or by stating, in the Narrative, the research problem(s) addressed by the project.

8. In abstracting Commodity Import Programs (CIPs), Cash Transfers, and other forms of program or non-project assistance (which are frequently assigned a grant or loan number -- e.g., 263K063 -- rather than a normal project number), primary mention should be made of the special -- not the general -- conditions precedent and covenants which A.I.D. attaches to such interventions as policy conditions.

9. Abstracts of Housing Guaranty Programs should begin: "Housing Guaranty (HG) to ... (project purpose)".

HG programs are primarily aimed not at directly solving a country's housing problem through construction but at institutionalizing new and replicable procedures for financing and constructing low-cost housing solutions, e.g., developing appropriate credit mechanisms, promoting the use of prototypical housing solutions, galvanizing private sector support. The abstract should reflect this A.I.D. policy thrust.

10. Abstracts of subprojects begin: "Subproject to ... (subproject purpose). It is not necessary to mention the title or purpose of the main project.

11. Abstracts of older projects receive only an Overview, or at most an Overview plus a second paragraph.

Entering Logframes

Besides preparing the abstract of design documents, the abstractor also copies the project's logframe (Narrative column only), provided one is provided by the document (which is almost always a Project Paper). The practice of "inventing" logframes, evident in early database records, has been discontinued.

The logframe is to be entered literally, that is, as given in the document, with the following exceptions: (1) the country name is to be added, where necessary, to the Goal statement; (2) DISC rules for grammar and the use of acronyms are to be observed; (3) any obvious errors are to be corrected; and (4) any of the four
sections of the logframe that exceeds the maximum system length (see figure 8.4 below) should be suitably condensed.

8.2.5.1.1.2 PROJECT Abstracts based on a Preliminary Design Document

PROJECT abstracts are prepared not only for fully approved projects, but also for projects which have received tentative approval through a preliminary design document.

The most common preliminary design documents are:

Project Identification Document (PID) (21) -- for development projects Program Assistance Initial Proposal (PAIP) (22) -- for nonproject or program assistance efforts

The content and format of abstracts based on preliminary design documents are the same as for the previous type of PROJECT abstract with the following exceptions.

The abstract consists of a single paragraph detailing the proposed project's purpose, major outputs, and implementing agency. Length is generally limited to 10-12 lines.

When the abstract is based on a preliminary design document, this fact shoudd be noted at the end of the abstract: "(Abstract based on PID [PAIP])".

8.2.5.1.1.3 PROJECTS ONLY ABSTRACTS

PROJECTS ONLY or PROJONLY abstracts are based on sources other than the original authorizing design document and are entered into the PROJECTS database only, without linkage to the DOCUMENT database.

The sources for PROJONLY abstracts are many and varied and include:

Project Paper/PAAD/HGPD/Pro-Ag/Grant Amendment;
Contract to which a Grant (81) is not attached;
RSSA/PASA and PIO/T (Bureau Bibtypes 79 and 61).
Congressional Presentation (39);
Action Plan (94);
Annual Budget Submission (96).

It is to be noted that the projects described in the last three of these sources are planned, not actually approved projects.

Failing all else, any documentary or even authoritative verbal source that provides information on the original project design, may be used to prepare a PROJECTS ONLY abstract. Especially the case in projects which never had a design document, such as Program Development and Support (PD&S), Special Self-Help, and earlier Human Rights projects.

Content and Format of PROJECTS ONLY Abstracts

PROJECTS ONLY abstracts follow the general rules stated above for preparing PROJECTS abstracts, except that they are generally shorter in length, typically consisting of an Overview or an overview plus a second paragraph.

The DOCID of the document on which the abstract is not included in the header, but is placed at the end of the abstract along with the type of document, as follows: "(Abstract based on PES [or Special Evaluation, etc.]: PD-AAA-000)."

When a PROJECTS ONLY abstract is based on an amendment to the original design document for the project (i.e., Project Paper, PAAD, HGPD, Pro-Ag, or Grant), the following is to be inserted in the NOTE field (P330) in PROJRD after the abstract is transmitted to the DIS: "The abstract for this project is based on a design document".
For further information on PROJECTS ONLY abstracts, see Section 8.6.1 below.

For sample abstracts of project and subproject design documents, see Fig 8.1.

8.2.5.1.1.4 Abstracting Amendments to Design Documents

Amendments to design documents are abstracted only when they contain significant changes in one or more of the project's logframe components. Such abstracts are added to the original project description and should generally not exceed one relatively short paragraph in length. Reference to the DOCID should be added at the end of the abstract. Amendments containing changes in project funding or duration are indexed only.

For a sample abstract of a project amendment, see Figure 8.2.

8.2.5.1.1.5 "Document Only" Abstracts of Project Activities

A.I.D.'s development assistance program includes "umbrella" projects -- Program Development and Support or Technical Support Projects, as well as regionally or centrally funded generic projects, which consist of a series of subprojects or similar interventions implemented by PVOs, host country institutions, international research organizations, etc. The Project Paper (when available) for such umbrella projects generally provides only a macro-level view of the project as a whole, leaving individual activities to be specified in grants or cooperative agreements with particular agencies. In such cases, the Project Paper should be used to prepare a single macro-level abstract of the project as a whole for entry into the PROJECTS database.

Frequently, the individual grants/agreements lack a specific subproject number. Due to the systemic limits of the PROJECTS database, abstracts of such documents are entered into the DOCUMENT database only. (These abstracts, it may be noted, constitute a subdivision of the "Document Only" abstracts mentioned in Section 8.6.1. below.)

To provide the link between the two databases, the following is to be added to the overall project description in PROJECTS: "For a description of individual project activities, search the DOCUMENT database under this project number." Conversely, the title of the overall project is to be identified in the opening sentence of "Document Only" abstract, e.g.: "Grant is provided under the PVO Co-Financing Project (7-digit number) to CARE to ... (subproject or subactivity purpose)." For an example, see Figure 8.1 below.

8.2.5.1.1.6 Basket Projects

In general, only one abstract should be prepared for each document. For example, evaluation documents are given one abstract only, even if they treat several projects or subprojects. The **sole** exception to "one document, one abstract" rule is provided by so-called "basket projects", i.e., projects consisting of many subprojects. Basket projects are abstracted according to the following rules.

1. If the design document provides a single logframe, only one abstract is prepared. This abstract may exceed the standard maximum of 500 words in order to ensure that all essential information is captured.

2. If the design document provides two or more logframes, or if there are two or more design documents each providing a separate logframe or treating a separate subproject, an Overview is written for the project as a whole, and separate abstracts are written for each subproject. In such cases, the opening sentence of the abstracts for the subprojects is simply written: "Subproject to ..." (subproject purpose).

8.2.5.1.2 Abstracts of A.I.D. Documents

Besides abstracts of project design documents, which are entered into both the PROJECTS and DOCUMENT databases, abstracts are also prepared of other A.I.D. documents, principally of formal evaluations and technical (R&D) reports or studies.

8.2.5.1.2.1 Evaluations

An evaluative document in the strict sense refers to a formal evaluation of an A.I.D. project as implemented in the field. Evaluations are built into the project implementation process itself and are conducted by A.I.D. and/or non-A.I.D., project and/or non-project personnel. The key feature of an evaluation is that it focuses on the project not as originally designed, but as actually implemented in the field. By so doing, evaluations provide A.I.D. with an experiential record of what actually works or doesn't work in the field and in particular of the causes of this success or failure. Evaluations, therefore, are of critical importance in helping A.I.D. improve the design and implementation of future projects.

Evaluations comprise the following:

Priority I Evaluations:	Project Evaluation Summary/Evaluation Summary (PES/ES) (bibtype 15) and Project Assistance Completion Report (PACR) / Final Evaluation (bibtype 68); see note 10 below;
Priority II Evaluations:	Special Evaluation (bibtype 17) and A.I.D. Audit (bibtype 18)

Such documents receive full-length, informative abstracts (maximum length ca. 500 words).

Format and Content of Evaluation Abstracts

The first paragraph of the abstract is basically unalterable in both format and content. Essential information items include:

* statement of project purpose, including country name;
* type of evaluation and the time-frame covered by the evaluation, when indicated;
* the methodology used by the evaluators, according to the norm stated in note 3, below.

If the time-frame is not stated, the omission should be noted.

The body or central portion of the abstract, which should be written in the past (preferably, except for final evaluations, in the present perfect) tense and in several paragraphs, should include information on:

* the degree of attainment of End-of-Project Status (EOPS) and/or output targets;
* the causes of the attainment or non-attainment of these targets, including the effects on project implementation of external factors (these often correspond to the assumptions made in the design document);
* unexpected results of the project;
* project beneficiaries (these can often be included in the account of the outputs);
* special development concerns of particular importance.

The conclusion of the abstract is devoted to:

* lessons learned from the project;
* recommendations, in accordance with note 7 below;
* other summary or concluding remarks made by the evaluators or the Mission.

NOTES

1. In preparing evaluation abstracts, maximum use is to be made of the abstract provided in the ES format and of the executive summaries provided in other evaluations. See Section 8.2.5.1.2.3.

2. In entering dates, use numbers to signify, successively, the month and year (last two digits only) for the time period covered by the evaluation, e.g., 10/80 for October 1, 1980; the day of the month may be omitted. The beginning and end dates of the evaluation period are separated by a hyphen without any intervening spaces, e.g., 10/80-9/81. The place of the evaluation in the project's life-cycle should also be noted, e.g., mid-term or final evaluation.

3. The evaluation methodology need be noted only when it expands significantly beyond the standard methodology of document review, site visits, and interviews with project and other official personnel, e.g., when the evaluation is based on interviews with the project's direct beneficiaries or employs a particular data gathering technique such as random sampling.

4. A special effort is needed to arrange the material in an evaluation abstract coherently and in a way which reflects the overall thrust of the document. To this end, it is often helpful to begin the second paragraph with a general statement of the project's success or lack thereof, and to treat specific successes and shortfalls in separate paragraphs.

5. Information on the purpose level is more important than information on the output level, because it is the project's purpose which gives the various outputs unity and coherence and which is therefore of primary importance to project designers. When faced with choice between purpose level and output level information, therefore, the abstractor should focus on the former, adding a note such as "Detailed information on outputs is included in the report".

6. Lessons learned are a primary information item and when available are ALWAYS to be included in the abstract, though lessons that are obvious or platitudinous should be omitted. In doubtful cases, it is preferable to err on the side of caution; the editors can made adjustments as

needed.

When author abstracts or executive summaries are used as the main source of the abstract (see section 8.2.5.1.2.3 below), care should be taken to include lessons learned provided elsewhere in the report.

7. Recommendations presuppose findings and are considered secondary information items in relation to findings, of which they are often the obverse. It is thus allowable, depending on the circumstances, to include the recommendations only generically or to note only the most important recommendations (e.g., a project extension), or even to exclude mention of the recommendations altogether.

8. In abstracting PESs and ESs, the abstractor should check the Facesheet for Action Decisions for inclusion as appropriate. He/she should also check the final section of the PES/ES for inclusion of Mission Comments as appropriate.

9. Except in the case of audit reports (and then only judiciously) or when needed to indicate the success, failure, or status of project implementation, financial information is not included in the abstracts of project evaluations.

10. In abstracting Final Reports, stress should be placed on the project's overall success or failure and the reasons for this, even at the expense of detail regarding outputs. Care should be taken to distinguish between final Mission reports (entitled Project Assistance Completion Reports), final evaluations prepared by an outside team, and final reports prepared by the contractor who implemented the project; the last named, by analogy with Annual Reports, are generally not abstracted by reason of their non-evaluative nature.

Of particular importance in abstracts of Final Reports is information on the project's institution-building and other impacts, issues of project replicability and sustainability, and recommendations for follow-on projects.

11. Names of individual persons are almost never included in evaluative abstracts, or indeed in any A.I.D. abstract. Individuals should be mentioned, when necessary, not by name but by function or office, e.g., not "John Doe" or "Mary Smith", but "the project engineer", "the A.I.D. Country Officer", "the contractor vehicle maintenance specialist", etc.

For sample abstracts of a PES/ES, a Special Evaluation, an Audit Report, and a Final Evaluation, see Figure 8.3.

8.2.5.1.2.2 Technical (R&D) Documents

A.I.D. technical (R&D) documents vary greatly in bibliographic type. Som of the main types include CDIE Special Evaluations (17), Conference Proceedings (21), Case Study (56), A.I.D.-Supported Study (62), Handbooks and Manuals (65), and Economic and Social Analysis (97).

In general, technical documents receive half-length, quasi-annotative abstracts for citation in ARDA or other special bibliographies. Where feasible, such abstracts are to be written in a single paragraph. A.I.D. program and project impact evaluations, however, as well as documents deemed of special importance by the editors, receive full-length, informative abstracts in several paragraphs.

8.2.5.1.2.2.1 ARDA Abstracts

An ARDA abstract should include:

* a statement of the document's nature and of its subject matter, the latter precisely as related to development assistance efforts;
* the principal areas of the subject matter which are covered in the document ("table of contents");
* to the extent possible, the document's principal findings or analyses and/or recommendations made for future activity.

NOTES

1. An ARDA abstract should focus the reader's attention at once on the document's subject matter and development significance at their most specific level (in logframe terminology, the purpose level), rather than on any of the more general (goal or sub-goal) levels that are possible. As in the case of project documents, the document's title is generally the best guide to its subject matter and specific purpose.

When possible, abstracts of research studies should focus immediately on the problem addressed by the study at the most specific development sector and country, region, or city indicated in the document, e.g., "malnourished children under 5 in Tanzania", instead of "world (or even Tanzanian) food shortages"; "soil and water management problems constraining increased sorghum production in sub-Saharan Africa" instead of "to help alleviate food shortages in sub-Saharan Africa."

2. The development problem addressed by the document and the document's specific subject matter must be clearly connected in order to avoid an awkward hiatus in meaning. Observance of the principles of specificity stated above will help achieve this end. Thus, do not write: "Alleviation of food grain shortages is necessary to the attainment of adequate nutritional status by sub-Saharan Africans. Studies of high-yield wheat varieties in the region were conducted." Instead, write: "Soil conditions which restrict the productivity of the high-yield varieties introduced to combat malnourishment in sub-Saharan Africa were studied."

Frequently, no clear distinction can or should be made between the document's development significance and its subject matter, e.g., when the document provides no substantive background information, when the development significance of the subject matter is basically self-evident and space is needed to include important information, etc. In such cases, the abstractor will have to

use his or her good sense and/or imagination in composing the opening section of the abstract. Beginning the abstract by posing the question addressed by the document or by stating its key conclusion are some of the means employed in such instances.

3. For reasons of style, an ARDA abstract should never begin, "This report analyzes ... ", "This study reviews ..." or the like. When it is necessary or advisable to employ such a usage, the sentence should at least be inverted so that the term or phrase in question occurs at the end rather than at the beginning of the sentence. Do not write: "This report presents the results of a study conducted on the irrigation potential of selected rice paddy areas in Indonesia." Instead, write: "A study was conducted of the irrigation potential of selected rice paddy areas cultivated by Indonesian small farmers."

The abstractor should avoid reiterating the document's title in the opening sentence. Mention of the organization conducting or sponsoring a given study is also generally to be avoided; this information is in any case available to the reader in the citation at the head of the abstract. Also generally to be avoided are vague phrases such as "to help development practitioners (policymakers, decisionmakers) plan for ... ".

4. The document's methodology section can sometimes provide information appropriate for the introduction, e.g., "In 1981, a sample survey was conducted of 600 poor families in three representative rural areas of Peru to help determine patterns of off-farm employment."

5. Indication of the subject areas covered by the document ("table of contents") is the primary requirement in an annotative abstract; one should not, therefore, neglect such information in an effort to include the document's conceptual content. At the same time, even in following the table of contents, the abstractor must make a real effort of thought to: (a) determine precisely what the terms indicated in the table of contents (or the chapter headings and subheadings) mean both in themselves and in the document at hand; (b) make exact verbal and logical connections between the various items; and (c) "weight" the items properly. Mere repetition of the document's table of contents without explanation will generally result in an unintelligible hodgepodge, a potpourri of mere jargon.

Frequently, the nature of a document chosen for ARDA makes preparation of a simple annotation impossible or at least inadvisable. In such cases, the abstractor, relying more on wit and art than on preset guidelines, will have to blend informative and annotative elements in a way that best suits the document in question.

6. The abstractor should avoid devoting much of the brief length allotted to ARDA abstracts to secondary or peripheral information such as background data, research methodology, supporting data, and nonsubstantive annexes; mention of these items is sometimes best omitted altogether. A certain amount of intelligence on the part of the reader may legitimately be presumed; nor is it necessary to repeat oneself. Thus, if the document presents and analyzes research results, this fact should be made evident at the outset; it will be redundant to mention later in the abstract that "research results are presented and discussed." The precious space can be better used to state

some of the results or conclusions reached.

7. Acronyms are to be used exceedingly sparely in ARDA abstracts. Only the following acronyms may be used without prior explanation: A.I.D. and USAID (but not A.I.D. bureaus or regional offices), U.S., U.N., UNESCO, CARE, FY, P.L., GNP and GDP, and the names of donor or research organizations identified in the header. Invented acronyms should generally be restricted to common terms such as PHC, FP, or to organizations. The acronym "LDC" is to be avoided; use "developing country" or "Third World" instead.

For representative abstracts, see any recent issue of ARDA.

8.2.5.1.2.2.2 Special Bibliographies

Abstracts for special bibliographies follow the norms established for ARDA abstracts.

8.2.5.1.2.3 Author Abstracts

In preparing abstracts of A.I.D. evaluation and technical documents, maximum use is to be made both of author abstracts, as well as of executive summaries and of introductions which provide an overview of the document.

Considered as author abstracts are not only abstracts which are labeled as such, but also introductions and executive summaries which provide verbatim the substance (ca. 90%) of the abstract prepared by the DISC abstractor. A good rule of thumb is: If the original author were to read our abstract and say: "I wrote that" -- it's an "author abstract".

Sometimes it is necessary to modify an author abstract, especially those of a more technical nature, by specifying the development problem addressed by the document, by defining otherwise unintelligible technical terms, by adding important conclusions or noting significant appendices, by reducing the text to a manageable length, or, less substantively, by correcting errors of grammar or diction.

Author abstracts are identified as such by adding "(Author abstract)" at the end of the abstract. If the changes made by the abstractor are more than cosmetic, add "(Author abstract, modified)".

8.2.5.1.3 Abstracting Schedule

The above-mentioned design and evaluation documents are abstracted according to the following schedule.

1. Design documents.
    A. Abstract all projects for which design documents are available.
    B. Overviews or shorter abstracts may be prepared for documents over 5 years old.

2. Evaluations.

A. PES/ES, Final Report -- Abstract only if not more than 5 years old.

B. Special Evaluations -- Abstract only if not more than 2 years old.

C. Audits -- Abstract only if (1) not more than 2 years old, (2) are not restricted, and (3) contain substantive evaluative information.

3. Technicals.

Abstract when designated for ARDA or other special bibliographies or when specially selected by the editors.

NOTE. A policy decision of December, 1982 generally restricted abstracting to design documents, the four major types of evaluations, and technicals designated for ARDA. Other documents are abstracted only upon special request or when deemed of particular importance by the editors.

8.2.6 Special Issues

8.2.6.1 Replacing Abstracts in the PROJECTS Database

On occasion, design documentation is received for a project for which a description already exists on the PROJECTS database. The following norms are to be observed in such cases.

A. Only an original Project Paper or an original Grant Agreement -- not an amendment -- should be used to replace an existing project description.

B. If the existing project description is based on a grant agreement, index the newly acquired document, even if it is the original Project Paper.

C. If the existing project description is based on a CP or other non-design document, abstract the newly acquired design document and replace the existing record on PROJECTS with the new abstract.

8.2.6.2 Companion Evaluations

In cases involving a PES or ES attached to another evaluation, the following is to be observed.

(1) If the PES/ES is a genuine summary of the second document, abstract the PES/ES and index the second document;

(2) If the PES/ES consists only of a facesheet or mere references to or comments upon the longer document, abstract both.

The opening paragraph of the PES/ES abstract should include a citation of the DOCID of the

other document and should be so worded as to reflect its summary nature.

Thus:

"Summarizes midterm evaluation (XD/PD-AAA-000-A) of a project to ... (project purpose). The evaluation covered the period 10/80-9/81."

NOTE: The subject of the second sentence in this example is not the PES/ES, but the evaluation which it summarizes.

When the PES/ES does not summarize the other document, write:

"Comments on, but does not summarize, interim evaluation of project to ..."

8.2.6.3 Administrative Notes

Some projects possess more than one project number, either because the project number has been changed or because, in addition to the main number, they also possess a grant ("K") or HG number. In such cases, abstract the project under the most recent number or under the main number, as the case may be, and for purposes of cross-reference prepare an "administrative note" for the older or supplementary number. Such notes, which are to be entered into P330 in PROJRD, generally read: "Project identical to project (most recent or main number). Please see abstract under that project number." Do not add descriptors.

Figure 8.1

Sample Design Document Abstracts

Sample 1: Health Systems Support (5190308)

Project to upgrade the Salvadoran Ministry of Public Health's (MOH) capacity to deliver basic health care services (BHS), especially those critical to child survival (CS), by upgrading its logistic, BHS delivery, and program management and policy operations.

The project will help finance -- at a level decreasing from 54% to 28% over the project life -- MOH purchases of medical and pharmaceutical supplies. Also, long- and short-term TA and support for inservice training will: help the MOH's Drug and Medical Supply Unit inventory, and develop a standardized plan for procuring biomedical equipment; improve equipment maintenance; streamline procurement policies and procedures (A.I.D. will carry out virtually all project procurement); and help the MOH's General Services Office place preventive maintenance of water and sewage systems at BHS facilities in the hands of facility directors. The project will also provide equipment to three new regional equipment repair and maintenance centers and replacement vehicles, which will reduce the average age of the MOH fleet by 5-7 years.

To improve BHS delivery, the project will provide long- and short-term TA to the MOH Training Center and U.S. training for two Center faculty members to: (1) finalize treatment norms and train supervisory personnel so as to expand BHS delivery by providers at the lowest level; (2) upgrade competency-based training based on these norms for BHS providers and develop operational manuals for service delivery; (3) improve and expand outreach services by helping the MOH (a) evaluate the new Program for Rural Health (PROSAR), (b) develop a long-term strategy for malaria control, and (c) develop CS and mass media health education materials in support of BHS providers and community workers; and (4) train the directors of emergency medical services at health centers and hospitals and upgrade related inservice training.

To upgrade MOH program management, the project will provide: (1) hardware, software, and training to establish a computerized MOH management system (MIS) having six sub-systems; and (2) TA and training to help the MOH Planning Directorate use MIS for better policy and program planning. MOH planning will also be upgraded through the training of key national, regional, and local personnel to conduct applied health services research in areas such as financing, private sector delivery, and provider mix and training.

Sample 2 (Research Project): Improved Animal Vaccine through Biotechnology (9364178)

Project to develop an effective infectious vaccinia virus recombinant vaccine to eradicate rinderpest in Africa. Washington State University will implement the project in coordination with California Biotechnology, Inc.; the USDA's Plum Island Animal Disease Center, the U.S. National Institutes of Health, and a Kenyan agency. Mali and/or Niger may also collaborate.

Recent advances in vaccinia vector technology will be utilized to develop a vaccine which, unlike the effective tissue culture vaccine developed through traditional methods nearly 30 years ago, will not require refrigeration, trained personnel, or expensive facilities -- conditions that are difficult to obtain in developing nations. Cattle owners will be able to use the cutaneous scab from an animal vaccinated with the recombinant vaccine to produce vaccine for other animals and to administer the vaccine themselves.

To develop the vaccinia virus into a vaccine for rinderpest, researchers will attempt to: (1) clone the hemagglutinin and fusion protein immunogenic genes of rinderpest virus; (2) construct an infectious vaccinia virus recombinant that optimally expresses the two immunogenic genes of rinderpest virus; (3) measure immunity and protection against viral challenge in cattle vaccinated with the vaccine up to 12 months after vaccination; and (4) develop more effective promoters and improved techniques for enhanced expression of immunogenic genes in vaccinia virus recombinant vectors.

Development and testing strategies are planned for each year of the 3 year project. The recombinant vaccine will be developed during year 1, animal testing conducted at Plum Island during year 2, and animal testing be conducted in Kenya during year 3 to demonstrate that the vaccine is ready for large-scale field testing.

Sample 3: Irrigation Systems Management (3830080)

Project, follow-on to project 3830057, to upgrade the capability of Sri Lanka's Ministry of Land and Land Development (MLLD) to improve the performance of major irrigation systems (IS) and to field test and demonstrate several new approaches to IS rehabilitation and management. The MLLD's Irrigation Department (ID) and its new Irrigation Management Division (IMD) will implement the project's six activities.

A three-stage methodology developed under project 3830057 will be used to establish farmer organizations for IS operation and maintenance (O&M). Some 2,150 field channel groups and 215 intermediate-level groups will be created; selected members will serve as farmer spokesmen on the system-level Project Committee (PC). Some 531 institutional organizers (IO's) will be recruited and trained for this purpose. IMD's management structure will be upgraded to support the expanded IO system.

An O&M process stressing "sustained renewal" will be developed to ensure low-cost means for upgrading IS's and to avoid the need for and cost of major rehabilitation. This process will be tested and demonstrated in 8 major ISs: Gal Oya (Left and Right Bank); Polonnaruwa District (4 systems); Ridi Benda Ela; and Hakwatuna Oya.

An O&M financial management system will be created. IMD and ID staff will be recruited and trained in accounting and reporting to enable them to determine O&M funding needs, forecast the use of and account for expenditure of O&M funds, administer the user fee program, and review and revise maintenance contracts to encourage farmer involvement.

IMD will establish and test in project areas a monitoring, evaluation, and feedback (MEF) system which will incorporate: MEF needs at all levels; data collection requirements and procedures; reporting formats and frequency; and the use of reports in decisionmaking. MLLD staff will receive MEF and microcomputer training.

With the help of 6 Sri Lankan training organizations, the MLLD will provide short-term, in-country training to 580 persons annually. A total of 69 trainers from both the MLLD and the assisting entities will be trained overseas.

Some 10 research studies will be conducted. A major research focus will be the comparative analysis of expenditure per acre on IS improvements ranging from sole reliance on management improvements to mixes of management improvements plus varying levels of expenditure for physical upgrading/rehabilitation.

Sample 4 (Subproject): NGO Support V (521018805) -- Collaboration and Development

Subproject, follow-on to 521018105, to strengthen the capacity of the Haitian Association of Voluntary Agencies (HAVA) to provide information, training, and other support services to its 82 members, which include both indigenous and international PVOs working in Haiti.

HAVA services will focus on: (1) enhancing PVO operations through a variety of training programs (e.g, technical, management, animator, legal); (2) promoting a "bottom-up", participatory development approach in the PVO community through workshops, publications, etc.; (3) encouraging greater cooperation and collaboration among member PVO's, at both the geographical and sectoral levels; and (4) promoting the creation of national and regional resource networks among both development organizations and community groups.

HAVA will also strengthen its Sectoral Committees (Income Generation and Artisan Activities, Health, Agriculture, Water and Sanitation, Women in Development, and Pre-disaster Preparedness and Relief) and work to diversify its funding base.

Sample 5 (OPG Project): AIFLD (5190368)

OPG to the American Institute for Free Labor Development (AIFLD) to improve the services provided by democratic trade unions in El Salvador, and to establish an indigenous PVO, the Salvadoran Foundation (SF), to promote social and economic development in the country.

AIFLD will assist the Union of Workers and Peasants, the Democratic Workers Central, and other democratic unions and affiliates in both urban and rural areas to improve their services. This effort will include both traditional union assistance activities (e.g., membership drives, organizational strengthening, leadership training, collective bargaining training, vocational training, voter registration drives, and worker safety programs), and efforts to initiate new social and economic programs, including human rights training, microenterprise and farm credits, housing programs, water/sanitation systems, "land to the landless" programs, and agricultural marketing activities.

Secondly, AIFLD will work to create the SF as a legally registered PVO which will promote development, particularly among working class and disadvantaged groups. SF activities can be expected to encompass such areas as vocational training, housing, agriculture, health, microenterprises, and infrastructure. Both long- and short-term TA will be provided to the SF.

Sample 6 (Program Abstract):
Economic Stabilization and Recovery III (5240319)

Program, follow-on to 5240300 and 5240311, to support the Government of Nicaragua's (GON) economic stabilization program, as well as ongoing efforts to reform financial markets, liberalize the foreign trade regime, and privatize state-owned enterprises. The program consists of a cash transfer of $135 million in ESF funds to be disbursed in four tranches.

Program funds will be used in the following manner: up to $60 million for imports of petroleum, up to $20 million for imports of goods for the public sector, and the balance for imports of goods for the private sector. Local currency generations will be used to shore up the financial position of the Central Bank.

Policy conditions for the first two tranches relate to achievement of the macroeconomic targets of the stabilization program announced on 3/3/91, and specifically, on achieving targets for net foreign and domestic assets of the Central Bank, and net credit to the public sector. For the third and fourth tranches, disbursements will also be conditioned on progress in: (1) establishing private financial institutions offering a full range of financial services; (2) liberalizing international trade, to be demonstrated by non-discriminatory licensing of private sector export firms, and study of non-tariff trade barriers; and (3) privatizing state enterprises, for which CORNAP, the agency responsible for privatization, is currently preparing individual prospectuses.

Sample 7 (PID Abstract): Family Planning (6210173)

Project to strengthen family planning (FP) institutions in Tanzania, primarily the Ministry of Health (MOH) and the Family Planning Association of Tanzania (UMATI), in order to increase the country's contraceptive prevalence rate from 5% to 12-14%. The project will: (1) improve service delivery at MOH and UMATI maternal/child health facilities by providing contraceptives, TA in logistics management, and assistance in training service providers; (2) increase FP service availability by gradually expanding the number of sites offering voluntary surgical sterilization and related counseling, and by incorporating FP services into parastatal and private health clinics; (3) establish a FP management information system within the MOH, and conduct a baseline demographic and health survey; and (4) help the MOH and UMATI design IEC materials that target persons who are favorably disposed to FP. Special attention will also be given to promoting governmental commitment to FP at the regional and district levels. (Abstract based on PID)

Sample 8: "Document Only" Abstract (PD-ABB-211)

Grant is provided under the Private Enterprise Technical Resources Assistance I project (2780277) to the Federation of Jordanian Chambers of Commerce (FJCC) to establish the Amman World Trade Center (AWTC), a local affiliate of the World Trade Center Association. Other Jordanian organizations will collaborate with the FJCC to promote and develop the AWTC. These include the Jordanian Industrial Estates Corporation, Jordan Technology Group, Amman Chamber of Industry, Jordan Commercial Centers Corporation, and Jordan Trade Association.

The AWTC, serving as the focus of international trade activities for Jordan, will provide members a variety of services, such as educational and exhibit facilities; export guidelines; information services on world markets, government regulations, etc.; and access to the WTC NETWORK service and the "Bulletin Board", both international electronic message systems, and a database to identify and develop business relationships with other subscribers.

Figure 8.2

Sample Abstracts of Project Amendments

Amendment of 6/30/82 extends project 1 year to permit additional family planning studies in four Latin American countries -Guatemala, the Dominican Republic, Honduras, and El Salvador. (PD-AAA-000)

Amendment of 5/13/83 changes project's purpose from developing a primary health service delivery system to upgrading the institutional capability of the Ministry of Health (MOH) to deliver health services. New outputs include the training of 200 MOH extensionists, 35 teachers of extensionists, and 12 select MOH administrative personnel. (PD-AAA-000)

Figure 8.3

Sample Evaluation Abstracts

Sample Abstract of a PES

Summarizes attached final evaluation (XD-AAU-978-A&B) of a project to strengthen the Costa Rican National Federation of Savings and Loan Cooperatives (FEDECREDITO) and expand its services to affiliated rural cooperatives. Evaluation covered the period 7/82-7/86.

The project achieved all objectives. The credit union (CU) system was upgraded and is now a viable alternative to the nationalized banking system for a significant percentage of the population. FEDECREDITO's administrative staff increased from 19 to 40 and now includes a higher percentage of trained personnel; 19 staff members have university degrees and 10 have advanced technical training (in 1982 only one staff member had a university degree). A sound administrative system has been developed, with well-documented policies and procedures for nearly all operations. Member cooperatives increased from 26 to 50, and individual membership is over 94,000.

FEDECREDITO's current capital position greatly exceeds targets. Besides the original source of capital (Title I local currency generations), FEDECREDITO has capitalized on funds received from the IDB/Latin American Confederation of Credit Unions (COLAC) loan and from loans generated from its own resources. Near bankruptcy at project start, FEDECREDITO, is now financially self-sufficient. All member CU's reached self-sufficiency by the fourth year and some 38% of the principal has been repaid and made available for more loans.

Key factors in the success of the project, which benefitted some 100,000 small farmers and entrepreneurs, were the exemplary TA provided by COLAC and an Administrative Credit Fund (ACF) which provided member CUs credit to hire additional personnel.

Lessons learned are: (1) cooperation among member CUs made the ACF a success; (2) governments can help promote private sector development; (3) non-financial services provided by member CUs (e.g., provision of agricultural supplies) are relatively unprofitable and can drain capital and human resources; (4) entities such as FEDECREDITO should be at the forefront of computer technology to insure implementation of an integrated system able to produce financial and management decisionmaking data for all levels of the movement; (5) projects can be successful without elaborate designs, rigorous implementation requirements, or exorbitant

funding; (6) the vertical integration of CUs is a genuine advantage to be considered by project designers; and (7) the quality of the implementing agency may be the most critical factor in project success or failure.

Sample Abstract of a Special Evaluation

Evaluates reforestation project in Eastern Sudan to decrease soil erosion, supply firewood to refugees in Kassala Province, and upgrade the Forestry Department. Midterm evaluation covers the period 11/83-7/85 and is based in part on interviews with forestry experts and beneficiaries.

Overall, achievements have been impressive. (1) Fuelwood plantations have been established on 3,091 of 3,500 targeted feddans, excluding areas replanted due to high first year mortality. (2) Some 317 feddans of planted and direct seeded shelterbelts (totaling 93 km) have been planted in mechanized farming areas; however, only 90 of these feddans are successfully established and the target of 2,000 feddans seems unattainable. (3) Extension activities have resulted in 250,000 trees planted in household compounds, mostly for shade and ornamental purposes. The trees are thriving -- the survival rate is 50-70% and growth ranges from 70-100 cm/year -- and have been nurtured through local contributions of watering and fencing. (4) Nurseries, each with a capacity of 600,000 seedlings, have been established in two villages and have produced 1.8 million seedlings, most of which have been of two species grown for plantations and shelterbelts; 16 different species are grown for the extension program. (5) A recently initiated improved stoves program of training and promotion has, in its first 9 months, produced and sold commercially more than 500 charcoal stoves. (6) The Forestry Department has been strengthened, and is now much more supportive of activities in extension, shelterbelts, and agroforestry; 14 government staff have been seconded to the department, 6 buildings constructed, and 20 vehicles provided.

Expenditures have been higher than budgeted for almost all activities; also, plantation targets were increased and shelterbelt/agroforestry targets reduced without any budget adjustment, although the former is a costlier activity. Major recommendations are to provide funding to cover budget shortfalls and expand/diversify extension activities.

Several lessons have been learned. (1) Refugees and rural Sudanese, even without land/tree tenure, will plant and maintain, often at great personal cost, trees that provide early benefits, e.g., shade, amenity, live fence, or food. (2) Plantation techniques (subsoiling, crossfurrowing, microcatchments, weed control, mulching) can successfully establish trees in areas dryer than they usually grow. Species tested under varying conditions include << Leucaena leucocephala >> under irrigation and as a compound tree and << Parkinsonia sculeata >> as a dryland plantation species and a living fence. (3) The OPG mechanism has been appropriate for the project. CARE has provided timely TA and commodities.

Sample Abstract of an Audit Report

Evaluates operations of the Industrial Reactivation Fund (FRI) to provide loans to private businesses as part of a disaster relief project in Peru. Audit report covers the period 8/84-6/86 and is based in part on interviews with private intermediate credit institutions (PICIs) and subloan beneficiaries.

Several problems have hindered program effectiveness. To date, only 36% of the loan disbursements have been channeled through PICIs, and their participation is not expected to increase significantly during the remainder of the program. As a result, the IBP may benefit disproportionately from a program which targeted the private sector.

Due to a failure to reassess its information needs, the FRI program office has required of loan applicants information of a volume and type that has discouraged medium-sized businesses from participating in the program. The program office also failed to establish a system for monitoring compliance with the special conditions set down to ensure that loans would be used for agreed-upon purposes.

The Government of Peru (GOP) has not complied with a covenant requiring annual contributions to maintain the value of the FRI in dollars. As a result, depending on the method of calculation used, the FRI was short between $2.7 and $8 million as of 6/86. Other problems have included the IBP's diversion, early on, of $5.1 million in project funds to cover its own operating expenses, and delays in releasing the second tranche of local currency to the project, due to negotiations over the applicable exchange rate.

USAID/P has generally maintained close oversight over the program and has taken aggressive action to solve emerging problems. The Mission has required the IBP to repay the funds diverted at an exchange rate which maintained their value in dollars. To cope with the constant devaluation of local currency in the FRI, the Mission has secured tax-exempt status for interest earnings (allowing a greater portion of loan repayments to be re-lent) and has required the program office to charge the highest interest rates allowed by the Central Bank.

It is recommended that USAID/P: (1) obtain a plan from the FRI to maximize the use of PICIs and formally advise the FRI trustee committee that loan applications may be rejected only for reasons stated in the program's formal criteria; (2) have the FRI prepare a simplified loan application form and establish both a system for monitoring compliance with special loan conditions and remedies for non-compliance; and (3) enforce the covenant regarding the GOP's annual contribution to the FRI. (Author abstract, modified)

Sample Abstract of a Final Report

PACR of a project (7/80-3/84) to assess the utility of three experimental swamp vehicles to development efforts in the Sudd Swamp area of Jonglei Province in southern Sudan.

The vehicles -- a 32-hp marsh buggy, a 160-hp tracked cargo carrier, and a smaller industrial track vehicle -- were found to be fuel inefficient and subject to special maintenance problems, thus inappropriate to the isolated Sudd Swamp area where fuel and spare parts are difficult to come by. In addition, a labor source with sufficient education and aptitude to be trained as vehicle operators or mechanics was unavailable, and the role of the host agency, the Jonglei Executive Organ for Development Projects, in providing logistical support remained vague and undefined.

The project -- purportedly an accelerated impact project -- required 38 months before start-up due to delays in developing specifications for, procuring, and transporting the vehicles and in recruiting a technical advisor. The advisor, who arrived in 5/83, was severely stung by bees 6 months later when riding in the open cab of one of the vehicles and had to leave; A.I.D. determined that no worthwhile purpose would be served by securing a replacement.

The project was terminated in 3/84 due to armed insurgency in the area. USAID/S travel there is forbidden and it has been impossible to determine the status or whereabouts of project equipment.

Lessons learned are: (1) the project design underestimated the time required for and difficulties of implementing a project in an isolated area; (2) use of Commodity Import Program (CIP) funding could have saved at least 5 months' time (via in-place CIP freight forwarding services); (3) use of on-hand lease equipment could have saved the 12 months required to fabricate new vehicles; and (4) the project was misnamed -- it was an experiment (not an impact project) whose nature should have been more forthrightly and prominently discussed in project identification and approval documents.

Accelerated impact projects should be thoroughly investigated in order to ensure a relative degree of implementation simplicity, an assured source of equipment or commodities, and a contracting mode making full use of specialists while conserving A.I.D. staff resources.

8.3 Indexing Guidelines

8.3.1 Purpose of indexing

The sole purpose of indexing is to facilitate the retrieval of information.

For the user of a document collection, the index terms point to documents relevant to his or her information requirements. Thus, the indexers of those documents are responsible for selecting terms that accurately describe the major topics of any report, monograph, article, project paper, evaluation, memorandum, or other document. Major topics are those that are treated in some detail within the document. Mere mention of a subject is not sufficient justification for indexing it, no matter how important the subject is to the A.I.D. program. Only descriptors that represent concepts actually discussed in some detail in the document (concepts on which useful information can be obtained by reading the document) should be assigned.

8.3.2 General Indexing Guidelines

8.3.2.1 Consider the User's Needs

One of the most important challenges in indexing is to keep the user in mind. You must decide, as a user would, which index terms or concepts would come to mind in looking for the document to be indexed. Familiarity with A.I.D.'s goals and programs is one way to know which subject areas are likely to "come to mind" for individuals working in the development community. To become acquainted with the Agency's work, scan the current year's Annual Budget Submission and Congressional Presentation as well as recent Country Development Strategy Statements. Also, the A.I.D. Center for Development Information and Evaluation (CDIE) maintains a database of all information requests received from A.I.D. Bureau and Mission staff, developing country counterparts, and others in the user community. Browsing this database will help the indexer to become familiar with current information user needs and to discover trends in development planning, design, evaluation, and research.

8.3.2.2 Analyze the Subject of the Document

To index, first analyze the subject of the document. You are trying to answer the question, "What is this document about?" For long, well-organized books, project papers, or reports, read the abstract or executive summary (if present), and look at the title, table of contents, preface, introductory material, captions, and highlighted words or paragraphs. For shorter reports and documents that do not have introductory passages, read beginning and ending

paragraphs, and skim the rest to pick out important subjects. The shortest works, such as some project documents, memoranda, and cables, should be read in their entirety. The rule is to save time by being selective about what you examine in detail, but do not hesitate to read whatever is necessary to become familiar with the subject of the document.

If you are abstracting the document as well as indexing it, write your abstract first and then identify the concepts you want to index.

Do not scan the Thesaurus looking for applicable keywords. You should have a very firm grasp of the concepts you want to index before you pick up the Thesaurus. The Thesaurus is there only to help you translate the concepts you have already identified into terms that have been approved for indexing. To become accustomed to this method, you might want to jot down the concepts for which you intend to find index terms before you look through the Thesaurus. This will keep you from getting sidetracked by the thousands of descriptors in the Thesaurus, and from overindexing simply because you come across lots of related terms.

8.3.2.3 Select the Index Terms

A. Be SPECIFIC. Choose the most specific term to describe the subject. Specificity is a fundamental rule of indexing and ensures greater relevance in document retrieval. For example,

* A report which discusses the pill should be indexed with "Oral contraceptives" rather than with the broader term "Contraceptive agents and devices".

* A report which discusses textbook development should be indexed with the term "Textbooks" rather than with the broader term "Educational materials".

* A research paper on drainage in different types of soil should be indexed with the term "Soil research" rather than the more general "Agricultural research".

* An evaluation of Food for Peace Title II projects should be indexed with the specific term "Food for Peace Title II" and not with the broader term "Food for Peace" or the even broader term "Food aid programs".

B. Be OBJECTIVE. In translating the author's concepts into index terms, avoid subjective interpretations or criticisms. For example, if a document is about the uses of a new pesticide, but does not discuss its environmental effects or its potential as a health hazard, you should not add descriptors for those concepts -- even if you feel they should have been mentioned. Index the document at hand; do not editorialize.

C. Be CONSISTENT. If you are indexing several documents on the same subject, use the same descriptors for each document. Although the final responsibility for ensuring consistency may rest with the editor who reviews index term assignments, it is something that should be borne in mind by the indexer as well.

D. Be EXHAUSTIVE. Index every topic of major importance, but do not include terms for subjects that are not discussed in some detail.

Overindexing burdens the system with a profusion of terms pointing to documents that are barely relevant to the subject. Those who access the system, both librarians and end users, waste their time scanning lengthy bibliographies and retrieving documents that have been overindexed and are not pertinent to their search. As you are assigning the keyword you might ask yourself, "If I received this document in response to a question about subject x (whatever the keyword in question is), would I be getting a significant amount of useful information about subject x or would I find nothing more than a passing reference?" For example:

* If a document is about the various uses of remote sensing imagery, apply the index term "Remote sensing".

* If a document describes a land classification project which used data from remote sensing imagery, apply the index term "Remote sensing" only if, in your opinion, it is very important to the project being discussed.

* If a document describes a large project, one component of which used data, part of which came from remote sensing imagery, do not apply the index term "Remote sensing".

Most documents will have eight to ten descriptors (this does not include geographic descriptors). If you have selected only four or five, check to see that you have captured every concept of importance in the document. If you have assigned fourteen or fifteen descriptors, be certain that you have not overindexed. These are just average numbers and should serve only as a guide in reviewing the terms you have assigned. *It is important to remember that indexing is an art, not a science.* Indexers will not always agree among themselves on the indexing of a document, nor will users always agree. What is important is that we establish general rules, and try to be consistent.

8.3.2.4 Special topics

In addition to following the above precepts, the indexer must keep in mind special

information needs defined by A.I.D., e.g., information on women in development, environmental impacts, and project sustainability. Indexers should be aware of "hot topics" and take care to keyword topics of special interest to A.I.D. Similarly, A.I.D. has requested that the keyword "Fixed amount reimbursement" be applied whenever this type of financing is mentioned in a document.

8.3.3 Indexing with the A.I.D. Thesaurus

8.3.3.1 Using the Thesaurus Displays

The A.I.D. Thesaurus is comprised of three displays: a Hierarchical Display, an Alphabetical Display, and a Rotated Display.

For the indexer, the **Alphabetical Display** is the most important of the three, since only the Alphabetical Display provides:

* *Broad terms* (BT's), which the indexer can consult if the descriptor originally consulted seems narrower than the document content.

* *Narrow terms* (NT's), which the indexer must consult to see if they more precisely define document content (Be Specific). Broad and narrow terms are provided in the Alphabetical Display one level up/down the hierarchical chain.

* *Related terms* (RT's), which broaden the indexer's field of search by serving as a reminder of other descriptors, perhaps not structurally related, which may be pertinent to the topic at hand. RT's may include anything from a near synonym to an antonym.

* *Scope notes* (SN's), which describe the context within which the descriptor is to be used or not used. (In a few cases scope notes are used to define a descriptor.)

The Alphabetical Display is also the only display which includes forbidden terms, i.e., terms which are not themselves approved descriptors, but which direct the user to a synonymous or nearly synonymous approved descriptor. The forbidden term "Home economics", for example, is included in the Alphabetical Display followed by instructions to use instead the preferred term "Household management". The entry for "Household management" shows that it is "Used for" (UF) "Home economics".

Finally, the Alphabetical Display provides the notation for each term, which links the term to the Hierarchical Display.

The **Hierarchical** Display depicts the Thesaurus structure and the place of each descriptor within that structure. It is most useful to the indexer for providing an overview of a particular subject and can be quickly scanned to find a structured arrangement of all descriptors on a particular topic, e.g., by looking up the term "International trade" in the Alphabetical Display, checking its notation, and then going by notation to the Hierarchical Display, the indexer can quickly see all terms structurally related to "International trade".

In the **Rotated Display**, the descriptors are arranged alphabetically by each component word. The term "Agricultural economics", for example, can be found under both "Agricultural" and "economics", the term "Contraceptive dosage level" under "Contraceptive", "dosage", and "level". The Rotated Display is a quick way for the indexer to view at a glance all descriptors with a common component word, e.g., all the "economic" descriptors, all the "research" descriptors, or all the types of cooperatives for which there are descriptors in the Thesaurus. The Rotated Display is also an extremely useful finding aid, especially if the indexer is not sure about word order or grammatical form. If, for example, you look up "Leadership" in the Alphabetical Display, you will find only "Leadership training", but by looking under leadership in the Rotated Display you will find two other terms which may be pertinent to your document -- "Political leadership" and "Community leadership".

However, while use of the Rotated Display is often the quickest way to locate a particular term, you should <u>never use just the Rotated Display</u>.

The indexer who relies solely on the Rotated Display is not taking advantage of all the indispensable information provided in the Alphabetical Display -- structural relationships, related terms, scope notes, etc. For example, if you are indexing a document about legal clinics for the poor, the Rotated Display shows you that "Clinics" is indeed a Thesaurus term, but it does not show you that "Clinics" is in the health facet (BT: "Health care facilities") and thus should not be used to index the concept "Legal clinics". If you are indexing a document which discusses "commodity management" in A.I.D. projects and you refer only to the Rotated Display, you will not realize that the term "Commodity management" has a scope note -- "For management of project commodities, use the descriptor Supply management". Finally, forbidden terms, such as "Home economics", are not included in the Rotated Display; indexers who refer only to this display will not find the preferred term, "Household management".

It is impossible to make full use of the Thesaurus and to index accurately without making frequent reference to the Alphabetical Display. Indexers who fail to do so will restrict themselves to a subset of the descriptors at their disposal, will be unable to take advantage of the Thesaurus's structural features, and will often not find <u>the</u> specific term.

8.3.3.2 Specific A.I.D. Thesaurus Guidelines

A. The A.I.D. Thesaurus includes both combined and elemental terms. ("Planning" is an elemental term; "Agricultural planning" is a combined term.) Most descriptors are not highly combined. This means that a complex subject such as "livestock marketing in Kenya" must be broken down into component concepts and three separate descriptors must be used: "Livestock" (and) "Agricultural product marketing" (and) "Kenya".

Combined terms, where they exist, should always be used in preference to elemental terms, i.e.,

* Use "Agricultural planning" rather than "Agriculture" (and) "Planning".

* Use "Health surveys" rather than "Health research" (and) "Surveys" - or rather than "Health" (and) "Surveys".

* And, citing the example above, use "Livestock" (and) "Agricultural product marketing" rather than "Livestock" (and) "Marketing".

Combined descriptors for certain concepts -- research, development, planning, policy, surveys, economics, education, management, and "aspects" -- exist in virtually every facet.

B. Index document content, not document type. Document type is indicated on the database by the Bibliographic type code (bibtype). For example, if the document at hand is a manual, or a special evaluation, this information is provided in the bibtype. Do not use descriptors such as "Manuals and handbooks" or "Evaluation" as an index term to describe document type.

C. Some descriptors should be used only sparingly:

* Avoid the use of "top terms", i.e., the very broad terms at the top of each facet. Examples are "Agriculture", "Education", "Natural resources and the environment", "Science", and "Population and demography". Almost always there is a more specific term that will apply.

* Do not use the term "Geographical areas and countries", the "top term" of the geography facet. The term is too general to be useful for information retrieval.

* Avoid the term "Research". Choose a more specific term, by referring to "Research" NT's,"Research (by discipline)" NT's, and the Rotated Display.

* Also avoid the term "Training". Again, look for a more specific term, such as "Agricultural training", "Management training", "Language training", "Technical training", etc.

D. Terms such as "Development project design", "Development project implementation", and "Development project evaluation" are best restricted to research studies and technical papers which discuss these concepts in a general context.

F. It is also wise to be judicious in the use of such terms as "Institution building", "Technology development", and "Technology transfer". "Institution building", for example, should be reserved for projects that aim to develop a new organization or to radically upgrade an existing one; if used for any project that seeks to strengthen any type of organization or government agency in any way, the term quickly loses its force.

8.3.3.4 Geographic Descriptors

After you have selected the subject descriptors, ask yourself if a particular location or environment is identified. Remember that geography is not limited to country names; it includes such concepts as "Pacific Ocean", "Grasslands", and "Tropical zone" as well.

If the subject matter of the document is not geographic-specific, do not add geographic descriptors. Descriptors such as "Developing countries" do not distinguish among documents in the A.I.D. collection, and should be avoided. There is no limit on the number of geographic descriptors, but as with subject descriptors, it does call for judgment. A passing reference to a country does not merit a descriptor. List all the geographic descriptors necessary and follow the same guidelines you would for subject matter, i.e., be specific and exhaustive, but do not overindex.

8.3.4 Weighting Descriptors

Some descriptors will be more important than others in describing the subject matter of a document. Descriptors that reflect a document's major subject areas are called major descriptors. Major descriptors and geographic descriptors (if any) are entered first in the descriptor field, followed by a hyphen character, and then by the rest of the descriptors you have chosen. You will probably average three or four major descriptors to a document.

8.3.5 Identifiers

Certain types of information are captured in a non-Thesaurus field called the Identifier field. The Identifier field is used to capture the following types of information: (1) evaluation type; (2) proper names, including the names of private implementing organizations (i.e., contractors, PVO's, universities, and research organizations), of other donors, and of development programs (e.g., Caribbean Basin Initiative); and (3) proposed descriptors.

8.3.5.1 Evaluation Keywords

Evaluation keywords are applied to all ES's and PACR's and to some special evaluations, audits, and contractor reports. As of 10/26/87, the following evaluation keywords are used: (1) Scheduled evaluation; (2) Late evaluation; (3) Ad hoc evaluation; (4) Interim evaluation; (5) Final evaluation; (6) Ex post evaluation; (7) Other evaluation; (8) Impact evaluation; (9) Beneficiary count. For Evaluation Keywords 1-3, the information is to be taken from Item B at the top center of the ES facesheet. Apply the Evaluation Keywords to the ES and to the accompanying evaluation report, if any.

For Evaluation Keywords 4-7, the information is to be taken from Item C at the upper right of the ES facesheet. Apply to the ES and the accompanying report. Interim, Final, and Ex post may also be applied to special evaluations not accompanied by ES's, and Final evaluation should also be applied to PACR's and final contractor reports.

Impact evaluation -- Apply to evaluations identified as such, including the CDIE Project Impact Evaluation series.

Beneficiary count -- Apply to evaluations that have an actual or estimated quantified count of beneficiaries.

8.3.5.2 Proper Names

The names of implementing agencies, contractors, other donors, any university-level schools involved in a project, research organizations, and development programs are added to the IDENT field of PD documents. The names of host government institutions are not included. Agency or organization names should be spelled out in full (CARE is one exception). Use English-language translations for foreign institutions.

8.3.5.3 Proposed Descriptors

If you are unable to find a term in the Thesaurus that expresses the concept you wish to index, you may propose that a new descriptor be added to the Thesaurus. If you wish to propose a descriptor, add it to the appropriate document record in the Identifier field,

preceded by a hyphen. In addition, fill out a Thesaurus Update Suggestion Form (obtainable from the DISC Thesaurus Coordinator). A Thesaurus Review Committee meets regularly to review suggested Thesaurus changes, and will advise you of whether the change you suggested has been approved or not approved.

The Thesaurus Update Suggestion Form may also be used to recommend other changes, such as adding or deleting related terms, forbidden terms, or scope notes.

8.4 Entering abstracts on the DISC LAN

Note: The sections below describe processes performed in several software applications, including WordPerfect, Microsoft Windows, and Business Sessions. Please refer to the respective reference manual for questions concerning their use.

8.4.1 Logging onto the Network

You must use a computer connected to the DISC Local Area Network (LAN). At the prompt, enter your login name and password.

If signing on to the network from DOS, type *login* at either the Drive F: or Z: prompt, hit return, and enter your login name and password.

Once on the network, run WordPerfect (Abstract) under the Applications menu or through Windows.

8.4.2 Creating a document

There are three types of abstracts on the DIS. The abstract type is determined by which database uses the abstract -- the Document database, the Projects database, or both. Refer to Section 8.6.1 for a fuller description of the abstract types. In general, the following cases apply:

DOCONLY	evaluation, technical, and "document-only" design documents
PROJECTS	approved project design documents
PROJONLY	CP's, Action Plans, and other design abstracts that are not based on approved design documents

When beginning a new document, add the appropriate code on the first line of the text, either DOCONLY, PROJECTS, or PROJONLY. This can be done in two different ways: (1) type the code on the top of the document (making sure that there are no additional spaces

typed in after it); or (2) use the following WordPerfect macros according to the document type:

ALT-D DOCONLY
ALT-P PROJECTS
ALT-O PROJONLY

The macro will automatically enter the correct code as well as the other information needed for the document (e.g., !ISN, !DOCID). Notice the macro automatically types a *Draft 1* status number for a new document. The draft status numbers are as follows:

1	first draft
2	second draft (i.e., it has been edited, changes have been incorporated, and it is ready for final proofreading).
F	final (i.e., the abstract has been proofread and is ready to be added to the DIS).

8.4.3 Saving a document

To save a document, press the F10 key followed by the document name. (The terms "document" and "file" are synonymous in this context.) When saved, document names must be 8 or fewer alphanumeric characters, the first character being a letter.

Project design abstracts: use the 7-digit project number prefaced with a "P".

Example: Project number is "4970232",
Document name should be "P4970232"

Evaluation, technical, and "Document-only" abstracts: use the DOCID for the document name.

Example: DOCID is "PD-AAL-925"
Document name should be "PDAAL925"

If the DOCID has more than eight characters drop the last character.

Example: DOCID is "XD-AAL-925-A"
Document name should be "XDAAL925"

8.4.4 Printing a document

Abstracts should be double-spaced before printing. Type Shift-F8, then type *1* (Line), *6* (Line Spacing), *2* (for double-space option), and the *Enter* key three times.

To print the document, press Shift-F7 for the Print menu. The Select Printer option should be set to the appropriate printer (e.g., HP LaserJet Series II). All abstracts should be printed using the default font -- Courier 12 pt. Type *1* to print the entire document.

8.4.5 Retrieving a document

To retrieve a document in the G:\Abstract directory: (1) press Shift-F10; and (2) enter the filename of the abstract. The abstract appears on the screen at the cursor.

You can also retrieve files by using the F5 key. This is helpful when you are uncertain of the document name. An alphabetical listing will display the names of all files under the Abstract (or other) directory. Move the cursor to the desired document and press *1* to retrieve.

When retrieving a file by using the F5 directory option, be sure that you do not already have a document on-screen and accidentally retrieve another document into it. If this does occur, delete the text of the incoming document, exit the existing document, and go to directory listing and try again.

8.4.6 Scanning a document

Open Windows on the PC connected to the scanner. At the Program Manager, run OmniPage Professional in the Windows Applications Group by double-clicking its icon with the mouse. Place page(s) to be scanned in the scanner tray face up, or singly on the glass handler in the correct orientation. Scanning more than 10 pages at a time could result in a memory overload.

Select Process under the Scan menu. Set Scan Options to the desired settings (see below). Hit *Enter* and OmniPage will scan the page(s). When finished scanning, click the "Done" button on the message box (if the "Multiple pages" option was selected).

To save the file, select Save from the File menu. If a directory other than \Abstract is shown, you must type in the file name including the path and a .WP5 extension (e.g., "g:\abstract\pnaax223.WP5".) However, this will set the default directory to \Abstract, and from then on only the filename and extension are necessary (e.g., pnaax223.WP5).

You can now open the file from WordPerfect and edit as needed.

Notes on scanner settings: The options in the Scan Options dialogue box can be used in many different combinations for different purposes, so experiment. One useful combination for abstracting purposes is "Multiple pages", "Multiple zones", and "Interactive mode". This will allow you to choose specific areas of text from one or more pages to be "recognized" and saved by OmniPage, and can save scanning and editing time. Use the pointer to box in your selected text and click "recognize", then proceed to the next page.

8.4.7 Format for project design abstracts

Figure 8.4 shows the format to follow for project design abstracts.

Figure 8.4
Format for project design abstracts

PROJECTS

Draft 1
RJW
!ISN 13516
!DOCID PD-AAN-335
!PROJ9 660007902
!PTITLE Rural Development II

!SPTITL Agricultural Input Delivery System

!ORGLOP 330

Subproject to ... (project purpose)

Paragraph two ...

Paragraph three ...

Additional paragraphs ...

!DESCR /Zaire/ /Integrated rural development/ - /Agricultural inputs/ /Delivery systems/ /Seed distribution/ /Fertilizer/ /Agricultural hand implements/

!IDENT /Peace Corps/ /World Bank/ - /Shovels/ /Hoes/

!GOAL Small farmer income increased ...

!PURPOSE Agricultural input delivery system ...

!OUTPUTS A. Pilot supervised credit program ...

!INPUTS A. A.I.D. 1. Credit fund for ...

!RELAID 6600052
!RELAID 6600045

No Indentation

Each line begins at the left margin. Nothing should be indented.

Line length

Line length should be 65 characters per line. These margins are preset and do not require adjustment.

Item-by-item description

Each field mnemonic is preceded with "!" and followed by a space.

ITEM	COMMENT
Abstract	Enter the name of the abstract type (e.g., Projects). See code Section 8.4.2 for a review of the three types. Add a paragraph break.
draft author	The next two lines contain the draft status and the abstractor's initials. Section 8.4.2 for an explanation of the draft status numbers. Additional notes may be added on the lines between the abstract code and the !ISN -- the data contained here are not added to the database.
!ISN	Enter the ISN of the document being abstracted.
!DOCID	Enter the DOCID. Include the dashes.
!PROJ9	Enter the seven-digit project number. For subprojects, enter a nine-digit number. Example: Subproject 1 of project 4970232, enter "497023201". But: Subproject "A" of project 5250322, enter "5250322A". Do not use dashes or periods within the project number.
!PTITLE	Enter the project title as found on design

document, but: use upper-lower case, leave spaces before and after dashes and slashes, leave out the country name, and expand abbreviations up to a maximum title length of 100 characters. Follow with a paragraph break.

!SPTITL Enter subproject title. Use same data entry guidelines as PTITLE. This field is mandatory if a subproject number is entered in PROJ9. Add a paragraph break.

!ORGLOP Enter the original life-of-project funding amount as found on one of the following:

The Project Paper Facesheet - Box 10, A.I.D. Appropriated Total, Column G

The Project Data Sheet - Box 8, A.I.D. Appropriated Total, Column G

PAAD Facesheet, Box 9

The original grant agreement

Enter the number in 1000's, without a period, comma, or dollar sign. Example: For $330,000.00, enter "330".

If none of the above data sources are available, disregard !ORGLOP. Add a paragraph break.

ABSTRACT Leave a blank line between paragraphs.

!DESCR See Section 8.3.3.

!IDENT See Section 8.3.5

!GOAL Maximum of 9 lines. Enter each logframe element as a single continuous paragraph. Do not, for instance, begin a new line for each output.

!PURPOSE Maximum of 21 lines.

!OUTPUTS Maximum of 46 lines.

!INPUTS Maximum of 46 lines.

!RELAID Related A.I.D. project numbers. If you are abstracting project "X", which is a follow-on to project "Y", enter project "Y" in !RELAID. Also ask the person responsible for maintenance of the Projects database to enter the related project "X" in the project "Y" record of the Projects database.

You need not reference other subprojects that belong to the same overall project being abstracted. For projects with both project and other numbers (loan, grant, or HG), enter the project number in PROJ9 and the other number in RELAID. Example: !PROJ9 4970232; !RELAID 497HG08. It will also be necessary to create a cross-referencing record in PROJECTS for the other number. See Section 8.2.6.3 for a discussion of Administrative Notes.

8.4.8 Format for evaluation and technical document and "document only" design abstracts

Figure 8.5 shows the format to follow for evaluation and technical documents, as well for "document only" design abstracts (for a definition of the latter, see Section 8.2.5.1.5 above). This format is the generally the same as for design document abstracts but with fewer data items, e.g., no project number.

Fig. 8.5

Format for evaluation and technical document and "document-only" design abstracts

DOCONLY

Draft 1
RJW
!ISN 6
!DOCID PD-AAL-479

Evaluates project to refine and replicate a model of nonformal, preschool education in poor, rural Peruvian communities...

Paragraph two ...

Paragraph three ...

Additional paragraphs ...

!DESCR /Peru/ /Rural areas/ /Educational development/ -/Educational facilities/ /Building construction/ /Participants /Infant nutrition/

!IDENT /Indepth evaluation/

8.4.9 Typing conventions

Italics, underlines, boldface

Do not italicize, underscore, or use boldface type. Italicized text may be indicated by enclosing the text in double angled brackets. Ex: << Cicer arietinum >>. Do not super- or subscript anything.

Dashes and hyphens

Do not hyphenate words at the end of a line. Use Wordperfect's *Hard Hyphen* (Home Key+dash) whenever there is a chance a hyphenated word might fall at the end of a line.

Em dashes are typed with a space dash dash space (--).

Example:

> A.I.D.'s development of renewable fuels emphasizes energy needs for basic life functions such as cooking, heating, and water supply -- activities representing 80% of all the energy consumed in Africa.

8.5 File Transfer Between the DISC LAN and the DIS

Transfer of files from the LAN to the DIS, individually or in batches, is done through a procedure known as "uploading" or "transmitting", and uses a combination of a WordPerfect macro called *convert* and a Business Sessions script called *ATP for Windows* (Abstract Transfer Process). The steps which use *ATP for Windows* must be done on a PC running Microsoft Windows and Business Sessions for Windows.

Transferring files from the DIS to the LAN is referred to as "downloading". Although the software requiremnts are similar to uploading, no Business Sessions script exists for downloading batches of files from the DIS, as downloading is less common, and essentially done on an as needed basis.

8.5.1 Uploading WordPerfect abstracts to the DIS

Uploading abstracts to the DIS involves two basic steps: converting the WordPerfect documents in the \ABSTRACT directory into ASCII text files; and transferring the converted documents to the DIS. In a third step, the successfully transferred files are purged from \ABSTRACT.

8.5.1.1 Converting WordPerfect documents to ASCII text files

From Wordperfect, type (ALT+F10), and at the macro prompt, type *convert* and hit *Enter*. Following the instructions in the dialog box on the screen, type in the document name as it is listed in the \ABSTRACT directory and hit enter; the macro will retrieve the file from \ABSTRACT and ask you to make final revisions to, or "finalize" the document.

Edit the document as necessary but do not hit *Crtl+Enter* until all necessary changes have been made. At this point it is advisable to view the document in reveal codes mode (ALT+F3 or F11) to check for any extraneous characters, as well as to perform a final spellcheck (CTRL+F2). There is no need to change the document's line spacing or justification. However, there should be two hard returns separating each paragraph in the abstract to insure they are identified as separate paragraphs on the DIS.

When you hit *Crtl+Enter*, the macro converts the WordPerfect file to an ASCII text file and places it in the \ABSTRACT\TRANSFER subdirectory, with documents given an extension according to their document code: .PD for PROJECTS, .DO for DOCONLY, and .PO for PROJONLY. If the code was typed incorrectly, the macro will ask you to make corrections; a common problem is the presence of a space after the code.

If you enter the same document name more than once, it will disrupt execution of the macro and cause the \TRANSFER subdirectory to become WordPerfect's default directory. If this happens, reset the default directory to \ABSTRACT and, if desired, delete the file from \TRANSFER before executing the macro again.

Once the macro has converted the document, it will return you to the main dialog box and ask you to enter the next document name. If you are finished, type *exit* (lower case).

After all the abstracts are finalized, you can view the list of finalized documents in the \TRANSFER subdirectory.

8.5.1.2 Transferrring the ASCII files to the DIS using *ATP for Windows*

Remember, to execute this portion you must be in Microsoft Windows. Open Business Sessions and sign on to MINISIS. From the Script menu, choose *Do Script*, and then the script *winatp.tts*; double click or choose *OK* to execute the script. (Click *Yes* at the "*Have you read winatp.txt?*" query.)

ATP For Windows automatically transfers the files from \TRANSFER to the DIS; no input is needed from the user after the process is initiated. The program submits a batch job to the

HP 3000 to load the abstracts onto the DIS. At an intermediate stage all files of each kind are placed into temporary MINISIS file groups: PROJECTS into *finlproj*; DOCUMENTs into *finldoc*; PROJONLYs into *finlcp*; and WRIs into *finlwri*. Sometimes a file(s) gets stuck at this stage if an error has occurred; see sections 8.5.1.4 (Errors and Corrections Procedures) and 8.5.1.5 (Manually Running the MININSIS abstract loading program) for information on correcting errors and/or working within the MINISIS file editor. The job then produces a printout listing the files which were successfully loaded to the DIS, and those, if any, which failed, as well as the cause of failure. Files which were successfully loaded are then automatically purged from their respective *finl* groups. When finished, the Session window is displayed.

The number of abstracts that can be transferred at one time is limited by the capacity of the HP 3000. For each type of abstract (PROJECTS, DOCONLY, PROJONLY, and WRI) a maximum of 50 files may be transferred at a time. Try to stay well within these limits when transferring batches; if necessary, check /TRANSFER beforehand for confirmation.

The print job is automatically assigned a priority of 7 (*inpri=7*). In nearly all cases, this should return a printout fairly quickly. In the rare case that the job does not print reasonably soon, type *sj* (show jobs) at the MINISIS colon to view the status of the job. If it is behind other, large jobs, you can assign a higher priority to your job by typing *altjob #j*your job number;*inpri=9*. Example: *altjob #j465;inpri=9*

The program will not close your MINISIS session. Be sure to type "bye" at the prompt in the Business Session window when finished.

Note: Never use the MINISIS Entry processor to add abstracts to the DIS.

8.5.1.3 Purging original WordPerfect abstracts on the LAN

After the abstracts have been successfully loaded to the DIS, the originals must be purged from the \ABSTRACT directory and \ABSTRACT\TRANSFER subdirectory. First, delete all files in the \TRANSFER subdirectory. Then, referring to the printout which list the documents added to the DIS, delete the originals from \ABSTRACT. Be careful to delete only those abstracts which were successfully transferred to the DIS.

If you accidentally delete the wrong file, go immediately to the DOS prompt (*Ctrl+F1, 1*) and type *salvage*. This program will restore the file last deleted.

8.5.1.4 Errors and correction procedures

If the file contains invalid data (e.g., an incorrect ISN number), it will not be transmitted to the DIS, nor will the file be purged from its *finl* group. Errors are not uncommon. The printout will show an error message next to the filename. There are two solutions: correct the problem in the original Wordperfect file in \ABSTRACT, then run it through the uploading procedure again; or edit the file in the MINISIS editor by retrieving it from its *finl* group, making corrections, and executing the manual abstract loading program(s) described in 8.5.1.5. If you choose to retransmit a corrected abstract, be sure that the document has been purged from \TRANSFER before you execute the *convert* macro.

Some common error messages and corrections include:

INVALID FILE NAME: FILE NOT FOUND

Correction procedure: Verify the file name.

ISN IN ABSTRACT NOT FOUND IN DATABASE

Correction procedure: Verify the ISN by checking the document or searching the DOCUMENT database.

INPUT FIELD IS TOO LARGE - FIELD REJECTED

Correction procedure: Reduce the amount of data contained in the field as necessary.

DOCUMENT ID IN ABSTRACT DOES NOT MATCH DATABASE

Correction procedure: Verify that the ISN and DOCID match by checking the document or searching the DOCUMENT database.

INVALID MNEMONIC FOUND - RECORD REJECTED

Correction procedure: Verify the mnemonic (i.e., !DESCR, !ISN, !IDENT, etc.)

NO DESCRIPTORS FOUND - RECORD REJECTED

Correction procedure: Verify that descriptors are present in the record, preceded by an exclamation point and the proper mnemonic, i.e., !DESCR.

ILLEGAL MARGINS OR ISN NOT FOUND IN ABSTRACT

> Correction procedure: Verify that margins are properly set and that the ISN is present in the abstract, preceded by an exclamation point and the proper mnemonic, i.e., !ISN.

Other common problems:

Occasionally, unusual ASCII characters find their way into an abstract on the DIS, and sometimes these characters can even disrupt uploading; this happens most frequently with scanned documents. This is another good reason to view the abstract in Reveal Codes mode during finalizing. To correct mistakes, upload a corrected abstract from WordPerfect \ABSTRACT or use the MINISIS editor.

Sometimes the printout will continue to return an error message when you attempt to retransmit a corrected abstract; this is because the program has been unable to overwrite the existing file in the *finl* group. In this case, it is necessary to manually purge the offending file from *finl* group before attempting to retransfer the abstract.

8.5.1.5 Manually running the Minisis abstract loading program

Once the abstracts are in the appropriate *finl* group (*finlproj*, *finldoc*, *finlcp*, or *finlwri*), they can be manually uploaded to the DIS, as follows. Type *docmenu* at the colon. A menu will appear containing the following options:

Option	Function
01. AUTOCP	Takes the first 50 abstracts in the FINLCP group and adds them to the DIS.
02. AUTODOC	Takes the first 50 abstracts in the FINLDOC group and adds them to the DIS.
03. AUTOPROJ	Takes the first 50 abstracts in the FINLPROJ group and adds them to the DIS.
04. AUTOWRI	NA
05. MANLCP	Prompts for the file names of project-only abstracts, then adds only the specified abstracts to the DIS. You must

specify in which group the abstracts reside.

06. MANLDOC — Prompts for the file names of document-only abstracts, then adds only the specified abstracts to the DIS. You must specify in which group the abstracts reside.

07. MANLPROJ — Prompts for the file names of project- document abstracts, then adds only the specified abstracts to the DIS. You must specify in which group the abstracts reside.

08. Exit — Exits the document menu driver.

Select the desired option. The program will submit a batch job to run overnight. Be prepared to record the job number -- it will briefly appear on the screen. The job produces a printout to verify that all abstracts were successfully loaded. The program automatically purges the files from MINISIS which were successfully added to the DIS.

8.5.2 Manually downloading abstracts from the DIS to the LAN

Abstracts are most often downloaded to make substantive changes to the text or to add an amendment to a project record. When an altered or amended abstract is retransmitted back to the DIS, it replaces the existing abstract for that record. To make minor changes to abstract, use the MINISIS Update Processor; only those very familiar with the DIS structure should perform such changes.

The procedure used to modify an abstract is slightly different depending on the abstract type. DOCUMENT abstracts are processed one way, and PROJECT and PROJONLY abstracts another. The following procedure points out the differences where they occur. The procedure described uses Business Sessions for Windows.

To begin downloading a PROJECTS/PROJONLY (e.g., 5150091) or DOCUMENT abstract (e.g., PD-ABA-561) from the DIS, enter the following at the MINISIS colon:

:download x5150091
:download xdaba561

This executes the PRINT processor. A series of command lines will appear as shown below.

ENTER DB NAME OR EXIT -

Enter *document* for DOCUMENT abstracts.
Enter *projects* for PROJECTS/PROJONLY abstracts.

NAME OF PRINT FORMAT FILE -

Enter *doc23pf.pf* for DOCUMENT abstracts.
Enter *prj33pf.pf* for PROJECTS/PROJONLY abstracts. (Use *prj23pf.pf* if you are changing the logframe.)

SELECT OUTPUT DEVICE (TERMINAL/LP/SPECIAL), etc. - *Enter* key

SELECT RECORDS -

proj9=5150091 (for PROJECTS/PROJONLY abstracts)
docid=pdaba561 (for DOCUMENT abstracts)

SELECT RECORDS -

end

The abstract has now been "printed" to an ASCII file in MINISIS. The name of the file will be the name given after the download command; in the above cases, the names of the ASCII files are "x5150091" and "xdaba561".

To transfer these files to \ABSTRACT on the LAN, select the Receive File option under Business Session's File menu. Type the name of the file to be downloaded. Next, enter the name of the file as it will appear in the \ABSTRACT directory, including the full pathname, e.g., G:\ABSTRACT\filename. Select the "convert to text format, word wrap" option to avoid hard carriage returns in the downloaded abstract. Session will then run a transfer program and display a message if the download was successful.

Finally, purge the ASCII file you have created on MINISIS and log off the HP 3000.

8.6 Revising project and document abstracts on the DIS

8.6.1 The three types of abstracts

Abstracts are stored in a central database called DOCABST which is shared by the Projects and Document databases. The abstract type is determined by which database uses the

abstract: the Document database, the Projects database, or both.

Document-only

"Document-only" or DOCONLY abstracts are simply abstracts of documents. The abstract is part of the document record on the Document database. The abstract is not shared by the Projects database. Abstracts of this type include evaluations, technical reports, other non-design documents, and, in the case of "umbrella projects", subproject grants and cooperative agreements.

Project/document

"Project/document" or PROJECTS abstracts are shared by the Document database and the Projects database. Abstracts of this type include all design documents. From the Document database view, the abstract is part of the document record. From the Projects database view, the abstract is part of a project record and describes the project design.

Projects-only

"Projects-only" or PROJONLY abstracts describe a project on the Projects database, but are not entered onto the Document database. The reason for this is that such abstracts lack a proper DOCID, a situation which arises in one of two cases: (1) a single design document is the source for more than one project description, as in the case of basket projects; (2) the abstract is provisional, being based on a document other than the original design document.

8.6.2 Replacing an abstract on the DIS

It is sometimes necessary to replace an abstract. The most common instance occurs when a design document is received for a project which previously had an abstract based on a CP, Action Plan, etc. In all cases of replacement, it suffices to transmit the new record to the database; the old record automatically will be replaced.

8.6.3 Deleting an abstract from the DIS

Use the MINISIS Release/Delete processor to delete abstracts. Only people very familiar with MINISIS should delete abstracts from the DIS.

8.6.4 Adding index terms to the DIS

Index terms can be added to the DIS directly or through an automated process. For indexing

one or just a few records, direct indexing is appropriate. The automated process is for adding large groups of descriptor records.

8.6.4.1 Entering index terms directly on the DIS

After signing on to MINISIS, type *upd* at the colon. Next, specify the DOCRD database by typing *docrd* at the command line.

:*upd*

SELECT DATA BASE OR EXIT - *docrd*

Select the document record by typing your document's ISN number at the prompt.

PLEASE ENTER FUNCTION TO SELECT RECORD
?*61244*

NOTE: If you are unsure of the ISN #, but do know the DOCID (or another field), enter = *a000 your document's DOCID*. Then, type *$* at the prompt.

?= *a000 pnabg523*
?*$*

Descriptors

NOTE: If a descriptor field already exists, check with the editors before deleting it.

Descriptors are entered onto the record by first typing *a c210* at the prompt. Next, add the descriptors at the prompt. When adding terms, you can edit only the current line the cursor is on. This is done by using the backspace key -- not the arrows -- and then typing over everything from that point on.

If you notice a mistake after finishing, you can make changes in the field by typing *c c210*; at the prompt, type in the incorrect text followed by % and the corrected text. For example:

To correct:	/Local groupers/
Type:	*c c210*
	groupers%groups

You can also replace the entire descriptor field by typing *r c210* at the prompt and then entering new descriptors.

To look at the field after entering, type *l c210.*

Identifiers

Enter identifiers via the same process as above, using field c220 instead of c210.

Date indexed

After indexing, add the date indexed by typing *a d690*; at the prompt, type *++1*.

Be sure to proof each field added to the record.

When finished with the record, type *e*. Type a new ISN at the prompt or type *exit* to exit Update.

8.6.4.2 Adding Descriptors to the DIS using automated procedures

8.6.4.2.1 Using the Descriptor Adding Program

The descriptor adding program must be run from the drive and subdirectory in which its component files are located. A copy of the program exists on the LAN in the G:\Global directory. You can also include the full pathname in your run command.

To start the program, type *descr4*. Enter the DOCID, with dashes (e.g., PN-AAA-001), in the box and press *Enter*. Next, enter the ISN and press *Enter* (requiring both the DOCID and the ISN is a quality control check).

To select primary descriptors, place the highlight bar on a descriptor and press *Enter*; a check mark will appear to the left of the selected term. Pressing *Enter* when the highlight bar is on an already selected term will deselect it. The highlight bar can be moved with the up/down arrows or by typing the first letter(s) of a term, which will cause the highlight bar to "jump" to that part of the alphabetized descriptor list. Note that, as in the A.I.D. Thesaurus' Rotated Display, multiword terms appear several times in the list; SELECT EACH TERM ONLY ONCE. Press F3 at any time to show the primary descriptors that have been selected.

When all primary descriptors have been selected, press F5 to begin selecting secondary descriptors, using the same process as above. To show the secondary descriptors that have

been selected, press F4; to return to the list of primary descriptors to view, deselect, and/or enter new primary terms, press F7; to erase all primary and secondary descriptors and start over, press F2.

If at any time during descriptor entry you realize you have entered the wrong DOCID or ISN, you can correct them without losing the descriptors you have have chosen by pressing F1; the program will return to the enter DOCID screen, where you can type in the correct information and proceed as above.

When all primary and secondary descriptors have been selected, press F6. Respond Y if there are any identifiers to be added, and type them in, with slashes (e.g., /World Bank/ /LTS Corp/); press Enter when done.

During a session of descriptor entry, you can view previous records by pressing F8 from the Enter DOCID screen for entering a new record (not the F1 screen for changing the DOCID or ISN); when prompted for the DOCID, enter it, with dashes, and press *Enter*. If you do not remember the DOCID but know the ISN, type in the letters ISN and press Enter; you will be given another box in which you can call up the record with the ISN number. To modify a previous record, press F9 from the Enter DOCID screen and type in the DOCID with dashes. The DOCID, ISN, and identifiers will be displayed for changes; use *Enter* to move between the fields. After the identifier field the descriptor list will appear with the previously selected descriptors checked. The function keys operate the same as in original entry except that the identifier screen will not be shown after F6.

When you are finished with a session of entry, press F10 at the enter DOCID screen. Enter a filename for the group of descriptors. If you are saving the files to hard disk or putting multiple files on a diskette, you must use a unique filename for each group of descriptors, or any existing file will be overwritten. The program will automatically give every filename a .PRN extension.

8.2.4.2.2 Uploading files created with the Descriptor Adding Program to the DIS.

Descriptors files created with the Descriptor Adding Program can be uploaded to the DIS using Business Sessions for Windows. Open Windows and sign on to MINISIS through Business Sessions. If your files are stored on a floppy disk, insert the disk in your disk drive.

From Business Session's *File* menu, choose *Send File*. In the *Send File* window, double click on the directory where the descriptor files are located (when transferring from a floppy disk, for example, choose drive A or B), and then type in the filename, with .prn extension, on the appropriate line; you can also type in the global filename command, *.*, which will cause a list

of all files on the floppy to appear, which can then be selected one a time with the mouse. Press *Enter*, and Business Sessions will bring up another window, with your filename listed both at the top and in the *HP3000 File Characteristics* field. If you wish to change the name of the file as it will be called by the HP3000, do so. Press *Enter* or click *Send* to convert the file to a MINISIS ASCII file. Repeat the procedure for each of file.

You can now begin transferring your files to the DIS. From the MINISIS colon, type *editor* and press *Enter*. At the slash, type in the name of the transfer script, *t descjob.streams*. Type *l all* to view the entire scipt. Modify the filename in line 8 by typing *m8*, moving the cursor directly under the letter(s) following the = sign, typing *r* for "replace", and then your filename. It is quicker if in the previous step you have choosen similar filenames, e.g., NYNY1, NYNY2, NYNY3, etc., since you then only have to change the last character of the filename each time. Hit *Enter* twice, and at the slash type *k* to keep your changes. At next prompt, type *y*. Lastly, type *e* to exit.

Example:

:*editor (Enter)*
/*t descjob.streams (Enter)*
/*m8 (Enter)*
!FILE DESCFILE=NYNY1
r2 (Enter)
!FILE DESCFILE=NYNY2 *(Enter)*
/*k (Enter)*
.....purge old and keep new?*y (Enter)*
/*e (Enter)*

You can now run the transfer script. At the colon, type *descjob* and press *Enter*. The script will take only a few moments to upload the descriptors in the file to the DIS and send a print job for verification. Repeat the process of modifying the filename and running the uploading script for each of your files. Finally, purge the filenames from MINISIS, and check your printout to verify that all descriptors have been succesfully added to the DIS.

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DISC Operations Manual

Chapter 9 - Records Management

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Section 1 - Micrographics Operations

This section covers procedures for micrographics operations for CORE documents added to the DIS, and for official project documents microfilmed under APDMS (Agency Project Document Micrographics System).

Micrographics Operations

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Section 9.1
Micrographics Operations

CORE Micrographics

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9 Records Management

9.1 CORE Micrographics

This section covers all requirements for DISC micrographics operations for CORE documentation comprising the Agency's institutional memory administered by CDIE/DI.

9.1.0.1 Types of Documents to be Filmed

The Development Information Services Clearinghouse (DISC) films both CORE technical reports and project documents selected according to specific criteria as being significant. Both types of documents are filmed in the same manner.

CORE documents consist of those A.I.D.-sponsored design and evaluative reports which are known as the "Institutional Memory". In addition, CORE documents are those which are cited in the DOCUMENT database, and it's component DOCRD, of the DIS. When the original filming of these documents occurs, they are assigned sequential DOCID numbers in either the PN-A... or PD-A... series. CORE documents also include selected APDMS documents all of which have a PD- prefix with their geobureau origin distinguishable by the third alphanumeric character of the DOCID. CORE documents are classified according to the following document categorization plan:

9.1.0.2 Overview

Document control and tracking features in the MINISIS databases assist in monitoring production and locating documents in process. Two databases perform this function for CORE filming operations: DOCRD and MFTRAKRD. The former is the main source for bibliographic information which is included in microfiche headers. MFTRAK functions exclusively to provide a record of microfilming transactions and data.

The document control features practiced at the DISC enable rapid retrieval of any document from microfilming as well as other processes. The location of a document in the micrographics workflow is uniquely defined by three data elements: Batch number, Box number, and Sequence number. Complete listings of the data definitions for these databases are shown in **Appendix X**.

9.1.1 CORE Source Document Preparation Guidelines

Document Preparation Sequence of Events. See also the accompanying workflow diagram.

1. Receive documents from cataloguing.
2. Assign batch and box numbers.
3. Prepare new sheet for <u>Microfilm Batch Status</u> logbook.
4. Remove binders.
5. Fill out grid sheets and prep documents.
6. Enter skeleton header through MFMENU.

7. Perfrom final check before filming.
8. Send for filming.
9. Return from filming.
10. Q.C. on return fiche.
11. Return remakes for refilming.
12. Send masters for diazo copies.
13. Send completed batch through the Microfilm Return Process.
14. File returned fiche.
15. Deliver documents to next appropriate party.

9.1.2 Document Preparation/Job Set-Up (batch controls)

9.1.2.1 Batch Control

1. CORE documents are batched for filming after cataloging has created bibliographic records for them. All information to be transferred to the document's fiche header has been created and proofread by the time it reaches micrographics. The documents are prepared (PN's and PD's in separate groups) according to the cataloging procedures. Documents are arranged on specially marked shelves in the cataloging area or outside the CORE document preppers office by DOCID. A separate shelf is reserved for documents to be filmed in a rush.

2. Documents are removed from these shelves either a document at a time until enough documents have been processed to fill a box, or a box at a time, and batched for filming with a typical batch (one box) containing 50-100 documents.

3. Assign batch and box numbers to documents. The batch number is a four digit number corresponding to the year and month the box is processed. For example, a box processed in February of 1992 would have a batch number of 9202. Two digit box numbers are assigned from a manually maintained accession list running sequential from 01 through 99, and then starting again at 01.

4. For batches with no assignment, see (Microfilm Batch Status Notebook). Assign box numbers starting with "01" for each batch. Put each document, rubber banded or clipped in a manila folder.

5. If a large group of documents needs to be tracked through the filming process as one batch (e.g., an ARDA issue), then several boxes will be assigned the same box number (for example: 40/1, 40/2, 40/3, etc.).

6. Attach box label to each new box of documents received or each new box filled with prepped documents.

7. Create a new sheet for the Microfilm Batch Status logbook for each new box received.

8. Fill out Source Document Microfilming Log sheets by filling in Document ID No., Batch/box/sequence, frames and fiche number. Use batch and box numbers as assigned above. Assign sequence numbers beginning with "01" for documents in each box. The sort number will usually be "50"; in in exceptional cases will it need to be anything else. The Log should list the documents in sequence number order and the documents must be maintained in that order. If new documents are added to the box, make sure they are added to the Log and assigned a sequence number. The Log must stay with a box of documents at all times until it's ready for filming, and then should be given to the supervisor. A new Log should be started for each new box.

9. Once a group of CORE documents has been assigned a batch and box number, the headers are created and sequence numbers are assigned using a set of programs called MFMENU. The data elements for the header are taken directly from the corresponding fields of the record for that document on DOCRD. This information, plus the number of fiche, frame count, and batch / box / sequence number, are stored in a new data base created by the MFMENU programs utilizing HP's IMAGE data base management software. The IMAGE data base is searchable online by DOCID. Listings sorted by DOCID or batch / box / sequence number can also be created from the IMAGE data base.

10. One header format is used for all documents. If the DOCRD record for a document does not contain any data for a field that appears in the header, then that space in the header is left blank. The data elements included in the header are the following:

Tag	Field Name (Number of characters in parentheses)
D101	Project number (7)
D170	Superintendant of Documents (GPO SUDOC) Number (20 characters over two lines)
B230	Title of document (80 characters over two lines)
C100	AID geographic code, expanded (40)
D010	Bibliographic type code (2)
A000	DOCID (10)
D400	Number of fiche (2)
B630	Year and Month of Imprint/Issue (4)
D060	A.I.D. Contract number (21)

This header format was designed to accommodate all document types that DISC presently films or anticipates filming. Because the header data elements are taken directly from the DOCRD record, data entry by the document preparation staff is minimized. Only the DOCID, the number of fiche, and the batch/sequence numbers need to be keyed.

11. Generate a proof listing after information for the complete box has been data entered.

12. Verify and compare the database information on the proof list against the logsheet to confirm its accuracy. Note errors and determine their nature and origin. Verify the information from the logsheet to that of the original document in the file folder. If there are still questions, contact the document analyst or ask the micrographics manager for assistance. Make the necessary corrections using the update mode in MINISIS.

9.1.2.2 Physical Preparation

Preparing a document for filming requires two distinct operations; ensuring that a document is physically suitable for filming, and creating a grid sheet to guide the camera operator in filming the document. The desired result is a document that is physically acceptable for filming and organized so that the sequence of the document is obvious to the camera operator.

Supplies required: staple remover, scissors, tape dispenser with tape, pencils, erasers, "Best Available Document" stamp, "Page Missing" stamp, "Intentionally Left Blank" stamp, filming targets, grid sheets.

1. Remove all staples and paper clips.
2. Repair any tears in a document using transparent tape.
3. Enhance illegible pages using the photocopier or, if that fails, attempt to find a new copy. Contact the document analyst for assistance.
4. Print that is smaller than 4 points will probably not reproduce acceptably. Enlarge it on the photocopier when possible so long as information is not lost by making the page bigger than standard 8-1/2 x 11". This is particularly important for worksheets and statistical tables.
5. Trim or reduce oversize pages (larger than 8 1/2 X 11). If a page is reduced, the resulting page should not have characters smaller than 4 points keeping originals with folder but marked "Do Not Film". All bindings must be removed.
6. Trim off the holes of GBC bound documents. Any pages or bindings removed from the original document should be inserted at the end of the copy to be filmed and marked "do not film".
7. Stamp the document "BEST AVAILABLE DOCUMENT" before being filmed if it is not of good quality, but is the only copy available for filming.
8. Substitute a "MISSING PAGE ___" target if pages are missing and a new copy is not readily available.
9. Use the "INTENTIONALLY LEFT BLANK" stamp or the "PREVIOUS PAGE BLANK" stamp on the following page if the pagination sequence includes blank pages.
10. Use only one target if several pages in a sequence are missing.
11. Return it to the supervisor if too much of a document is missing. An effort should be made to find a new copy of the document.
12. Using a pencil, number the pages of the document sequentially beginning with one (1), from the first physical page through the last physical page. The last page number is the frame count which is to be entered into the MINISIS database upon completion of the box. This number should be written on the proof list next to the corresponding DOCID.
13. If a document exceeds the 98 page frame count of one physical fiche, Insert yellow sheets to

separate pages appearing on different fiche. Note on yellow sheets (for example) "END 1 OF 4, PAGE 89". Also insert yellow sheets to indicate start of new row on fiche when previous row ends before column 14. Note on sheets (for example), "START ROW C" (for retrospective project documents only). Insert grid sheet at front of folder so that the document ID number can be read without taking off rubber bands. **Sample grid sheet attached as an exhibit.**

9.1.2.3 Logical Organization

The grid sheet and appropriate targets inserted in the document serve to ensure that the document is filmed in the correct sequence. All questions that the camera operator might have concerning pagination, including missing or oversize pages or blank pages, should be anticipated and reflected on the grid sheet.

1. The grid sheet must contain the DOCID for the document, the number of fiche (e.g., 2 of 4), and the batch/sequence number for the document.
2. Entries must be made in columns 1 and 14 of each row, and wherever the pagination is not sequential.
3. Abstract pages may or may not accompany a document. If one is included, film as frame A1. For retrospective project documents, only one Project Summary Description (PSD) page (with a project abstract) may be included in a project folder that contains many separate documents. In this case, make photocopies of the PSD for the additional documents.
4. Insert yellow sheets to separate pages appearing on different fiche. Note on yellow sheets (for example) "END 1 OF 4, PAGE 89". Also insert yellow sheets to indicate start of new row on fiche when previous row ends before column 14. Note on sheets (for example), "START ROW C" (for retrospective project documents only). Insert grid sheet at front of folder so that the document ID number can be read without taking off rubber bands.
5. "FILM" should be used to indicate unnumbered pages. Other conventions include "TITLE PAGE", "TOC" (table of contents), "T1" for Table 1, "ANN I" for Annex I, etc.
6. All unnumbered pages should be accounted for on the grid sheet with some readily identifiable tag.
7. "MISSING" and "INTENTIONALLY LEFT BLANK" targets to be filmed should be specifically identified on the grid sheet.
8. End of fiche targets should be inserted in the document appropriately with the number of the last page on the fiche filled in.
9. The last two frames of every grid sheet should be "RESO" (for the resolution target) and "REFL" (for the reflectance target).
10. If including either of the targets would necessitate an additional fiche, then one or both of these targets should be left off.
11. If there is room for only one target (a 97 frame document), the resolution target should be used.
12. The headers then are written to a separate disk file and the magnetic tape containing the header data is made from the data in the disk file, using the jobstream called "MF03TAPE". This tape and a corresponding printout should accompany the documents when sent for

filming

13. Correct information for the header will be coming directly from the Document Tracking data base. The information will have to be keyed and proofed. Correct information for the header fields can be obtained from several sources:
    a. for technical reports (PN's), from a Bibliographic Data Sheet (BDS) OR from the RANDD data base on INQUIRE at AID;
    b. for retrospective project documents (PD's), from the Project Summary Description page (1st Authority) from the grid sheet prepared by Costabile and Assoc. (2nd authority), from the BREF data base at AID, or from the facesheet which may accompany the document;
    c. for newly accessioned project documents (PD's), from the most recent printout of the DOCTRK data base.
14. The title should not be abbreviated. Truncate between words at end of title if the full title will not fit.
15. Once the documents are completely prepped, a final check (quality control) should be made for documents out of sequence in the boxes and typos in the headers.
16. Key entry: Document information which appears in the fiche header is stored in a temporary file which is created through a program called MFMENU. Entry and modification of records may be done by invoking the Entry Option in the first menu displayed by this program.
17. When "Entry" is selected, the data entry screen is displayed. The skeleton record on MFMENU data can be retrieved by entering the Document ID no. Once the record appears, check the header to see if it matches the document being entered. The maximum number of fiche (assign "01" if unknown), batch, box, sequence number and frame count (see Exhibit A).
18. Make sure that the documents added to the box at a later date have skeletonal records entered. (Important: if there is no record in MINISIS or any other problems, return documents to supervisor).
19. Update the batch control log to indicate when prepping was completed, and when the box was sent to the filmer.
20. When the box of source documents and finished microfiche are returned from the filmer service bureau, all materials are held until the fiche headers are compared with the database.
21. If accepted, the MFMENU Return Processor is invoked updating the tracking system with the date returned.
22. After the Return Processor is run for a given box, the materials in the box are distibuted as follows:
    a. Source documents to the cataloging unit.
    b. Camaera masters to diazo duplication and then to offsite storage.
    c. Silver duplicates to files.
    d. Magnetic tape or media to SDG/data processing.

9.1.3 Filming

At present, one box of CORE documentation is sent for filming every other working day, and returned by the filming contractor the second day following, which is the day for the next scheduled

pick-up. CORE materials are sent to filmers after they have been batched, logged, entered onto MINISIS, prepped, and quality controlled. Enclosed with the box of documents is a computerized list indicating the documents delivered with the corresponding header information. The targeted turn-around time at the filmers during this processing stage is five days. Documents being filmed can be retrieved from the filming contractor at any time on a special request basis.

9.1.3.1 Technical Specifications

The microfilming vendor will apply and enforce federal, as well as country-wide, standards in the performance of micrographics operations. Film and suppoies used in microfilming will be of sufficient quality to produce archival quality microfiche as defined in Chapter 101-11.506 et. al., Title 41, CFR. Filming will be at 24X (nominal) reduction ration. The delivered product will be roll fiche (105mm) and will otherwise comply with the dimensions of Type I microfiche, as decsribed in the American National Standard (ANSI PH5.9-1975). Microfiche titles, color codes, and filing schemes will be delivered as specified for each record collection as required.

9.1.3.1.1 Specifications for Microfiche Camera Master Negatives

One silver camera master negative and one silver duplicate negative will be produced according to the appropriate federal and ANSI standards for archival quality of these media.

Size: Cut fiche, 105 x 148mm. Film cut marks, squareness, dimensions all to standard ANSI/NMA MS5-1975.
Header: Positive photocomposed, alternate - LED style
Sign: Negative image
Resolution:
Using ANSI method to evaluate a five-point array of 1010 targets which is to be photographed with each document: 150 - 160 line pairs per millimeter at 24X.
Gamma: Below 2.2
Density: As read frin tge unage if a 90% reflective test target, which is to be photographed with each document. Background: D Max (24X) 1.00-1.20; D Max (48X) 0.80-1.20; Line: D Min 0.06 maximum.
Targets: 6-step reflectance chart, and five point resolution target in separate frames.
Reduction Ratios:
- 24X for documents containing pages up to 8.5 x 11 inches in size.
- 29X for documents containing pages up to 9 x 13 inches in size.

Dimensional Layout and Format Requirements:

1. Layout is to be seven rows by fourteen columns with pages filmed in row mode.
2. Overall fiche dimension must conform with those set forth in the standard, ANSI/MS5-1975.
3. Camera masters must be delivered in roll for with microfiched appearing in document number sequence.
4. Microfiche titles will be positive polarity and contain four lines with a maximum of either characters per line. Title information will be furnished to the filmer in paper form and one of

the following forms:

- nine-track 1600 BPI ASCII, unlabelled magnetic tape
- floppy disk, either 3.5 or 5.25 inch
- electronic access

5. The symbol for a numeric slash-zero must not be used in the fiche title.

9.1.3.1.2 Specifications for Microfiche Silver Duplicates

Size: Cut fiche, 105 x 148mm. Film cut marks, squareness, dimensions all to standard ANSI/NMA MS5-1975.
Header: Positive photocomposed, alternate - LED style
Sign: Negative image, positive title
Resolution: Loss less than one target from master - 5.6
Gamma: Below 2.2
Density: As read from the image of a 90% reflective test target, which is to be photographed with each document. Background: D Max (24X) 0.80-1.30; D Max (48X) 0.80-1.20; Line: D Min 0.16 maximum.
Targets: 6-step reflectance chart, and five point resolution target in separate frames.
Reduction Ratios:
- 24X for documents containing pages up to 8.5 x 11 inches in size.
- 29X for documents containing pages up to 9 x 13 inches in size.

Delivery: Sliver duplicates are to be delivered in cut fiche form, in acid-free, closed-end envelopes.

9.1.3.1.3 Specifications for Microfiche Diazo Duplicates

Size: Cut fiche, 105 x 148mm. Film cut marks, squareness, dimensions all to standard ANSI/NMA MS5-1975.
Film: Black emulsion (Xidex DEH or DEM II)
Resolution: loss less one target from silver master
Density: D Max 1.3 min
D Min 1.0 max

9.1.3.2 Quality

While these levels are ranges under which acceptable film should fall, film will not be accepted if the contrast between information and background is not such taht clear, legible copies can be made and the condition is not due to the quality of the material filmed. If the original camara master film does not fall within the acceptable density range, the duplicates will not be "printed up" or "printed down" in order to achieve a print quality which technically falls within the acceptable ranges.

Post-filming checks require visual and densitometer inspection of the silver masters and duplicates. Diazo copies are produced accordingly using the Bruning OP-59 fiche duplicator.

9.1.3.3 Refilming

The microfilm service bureau will refilm, at their expense, all work that does not meet stated standards when product quality is a result of poor workmanship and filming techniques, inferior or malfunctioning equipment and/or supplies, or any other factgor directly related to the quality or condition of the original document.

Any fiche found out of spec are returned for refilming at the filming contractor's cost. CORE fiche that are unacceptable due to errors by DISC processing (e.g., typos in header or incorrectly gridded documents) are returned for refilming at the DISC's cost.
Any rework identified is re-submitted to the filmer, invoking the Filmer Processor to update the date refilmed. This process results in updating the "refilm" field in DOCRD. Entire boxes of work rarely need to be refilmed, therefore, the Filmer Processor is designed to handle individual DOCID numbers as well as batch-box numbers.

It is necessary to run the Return Processor for refilms, making sure to enter the batch-box or DOCID number exactly as entered for the Filmer processor.

9.1.3.4 Format

Header information will be provided to the microfilm service bureau in paper form and on either standard nine-track, 1600 BPI ASCII unlabelled magnetic tape; floppy disk, either 3.5 or 5.25 inch; or via electronic access. Records are 81 characters long, with the first character being a carriage control character and 80 characters of data following. The records are fixed, ASCII, with a blocking factor of 32. Each fiche will have four 80 charac ter records on the tape numbered sequentially in the first character of each record. The order of the documents on the tape/disk will correspond to the order of the documents as delivered. All characters on the tape will be upper case.

9.1.3.5 Applicable Federal and Industry Standards (as amended)

1. Materials

a.	ANSI PH1.25	Safety Photographic Film
b.	ANSI PH1.28	Specifications for silver photographic film archival, cellulose
c.	ANSI PH1.41	Specifications for silver photographic film archival, polyester
d.	ANSI PH1.43	Practices for storage of photographic film
e.	ANSI PH1.53	
f.	ANSI PH1.60-1079	Specifications for Stability of Ammonia-Processed Diazo Photographic Film
g.	ANSI 143-1976	Vault Security Requirements

2. Product Quality

a.	CFR 41, Chapter 101-11.502a	Microfiche Standards

b.	CFR 41, Chapter 101-11.506	Microfiche Standards
c.	ANSI PH5.9	Type I Microfiche Specifications
d.	ANSI PH2.19	Diffuse transmission density
e.	ANSI/ISO 3334-1979	Microcopying Test Chart No. 2, Descripton Used in Photographic Documentary Reproduction
f.	ANSI/AIIM MS1	Practice for Operational Practices/ Inspection and Quality Control for Alphanumeric Computer-Output Microforms
g.	NMA MS5	Microfiche
h.	NMA MS23	Practice for Operational Procedures/ Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm Documents
i.	ANSI/AIIM MS43	Recommended Practice for Operational Procedures/Inspection and Quality Control of Duplicate Microforms of Documents and from COM

9.1.4 Storage

The original masters are accumulated at the DISC, after which they are transferred periodically to the climate controlled, secure and fireproof offsite storage facility of our storage vendor. This facility meets the contractual technical specifications and ANSI standards regarding archival offsite storage and disaster recovery. Transfer of microfiche masters to the offsite storage vendor occurs roughly twice a year.

The silvers and working collection of diazos are kept in DOCID order at the DISC in the eight-drawer fiche filing cabinets located in the micrographics operations area.

CORE hardcopy documents are to be stored by the offsite storage vendor according to retention schedules defined in A.I.D. Handbook 21, Part II, Chapter 6 and Appendix 6A as amended.
Semi-annual inventory control reports are received from the offsite storage vendor identifying DISC storage holdings with them in both their warehouse and their secure, climate controlled facility. These reports can be obtained on demand, however, semiannually is acceptable for management purposes.

9.1.5 Management Controls

CORE statistical reports are generated for A.I.D. describing micrographics operations, activities, and production volumes during the month just completed. They are included in the contract's monthly performance report to PPC/CDIE/DI. Monthly CORE micrographics statistics are aggregated and analyzed from a quarterly, yearly, and five-year perspective as part of the Quality Assurance program for the contract. A sample monthly statistical report with the micrographics section highlighted is included as **Appendix X.**

CORE microfiche production is reported on a monthly basis according to the number of items

prepared for filming, items filmed, and items returned. Some of the reports produce Standing Order lists for PN and PD distribution. Lists producing document titles are printed from the DOCRD database, all others are processes entirely within MFTRAKRD.

All periodic reports are produced using MINISIS batch processing command files, or "stream jobs", which are updated and submitted each month. Each of these jobs is described below, and its output show in a corresponding **Exhibit in Appendix X**.

MFPREP.STREAMS Calculates the number of documents, fiche, and frames prepared for filming each month. The printed output is sorted by DOCID and the STDLST lines reported on the form at **Exhibit X.**

MFSENT.STREAMS Calculates the number of documents, fiche, and frames sent to the microfilm service bureau each month.

MFRETN.STREAMS Calculates the number of documents, fiche, and frames sent to the microfilm service bureau each month.

MFRFLM.STREAMS Calculates the number of documents, fiche, and frames returned to the microfilm service bureau for rework each month.

MFQBCH.STREAMS Generates a listing of documents used to ship the standing orders for all of a month's production. PN's are sorted by DOCID and PD's by project number.

MFSTAT.STREAMS Partially redundant to the above, generates a production report listing the month's filming returns and document preparation, summarized by batch and box number. Used for verification of filmer invoices and production management.

MFDOC.STREAMS Generates a listing of PD documents sent to the World Bank each month. The print format used indicates the doucment bibtypes to ensure that certain (audit) reports are not shipped to the Bank. This ommission is required by our exchange agreement with them.

GEODOC.STREAMS Produces a list of DOCID numbers of APDMS documents which are acquired as a CORE (DOCRD) maintenance activity. The print format (ZDOCID.PF) is a standard format used for most large fiche duplication jobs.

9.1.6 Retention Schedules: Document Disposition

9.1.6.1 Fiche

Master camera negatives are considered to be part of the Agency's permanent record and therefore are governed by the retention schedules identified in Handbook 21, Part II, Chapter 6 and Appendix 6A as amended, as well as NARA guidelines. The retention of the fiche is determined by the life of the DIS. As long as the DIS is active, the records are to be retained. If the DIS becomes inactive, the collection is to be transferred to NARA.

The computerized index / database on MINISIS does fall under applicable guidelines for electronic

records and therefore is governed by the retention schedules identified in Handbook 21, Part II, Chapter 6 and Appendix 6C as amended, as well as NARA guidelines.

The **record series** for the DIS is 51020 whose description is: "This system is used to provide AID project designers with information on development projects and programs, technical data specifying what is state-of-the-art in project-related technologies, and bibliographic material to be used in analyzing project-oriented problems. System contains summaries of all Project Papers, Evaluation Reports, and Contractor Reports on development assistance projects since 1974."

Authorized disposition instructions are as follows: Permanent. Transfer a copy of the system with pertinent documentation to NARA in 1988. Transfer updates of system every five years thereafter.

9.1.6.2 Hardcopy

CORE hardcopy documents, once microfilmed, are housed in the offsite storage facility until disposition instructions are received from PPC/CDIE/DI. They are stored in a record series whose boxes are identified with a "W", or W boxes. Their continued storage and maintenance serves as a backup to the fiche collection. No formal HB21 records series is assigned to these documents at this time, although they could be categorized under development assistance project files.

9.1.7 Special Projects

9.1.7.1 World Bank PB Backfile Duplication

Objectives:

1. Provide a set of duplicate microfiche for the PN series numbered from PN-AAA-001 through PN-AAI-999.

2. Using the production process as a vehicle, collect and record inventory information about the collections of silver duplicates and camera master microfiche.

9.1.8 Appendices and Exhibits

1. MFTRAK, DOCRD Data Definitions
2. CORE Document Log
3. CORE Tracking Log
4. MFMENU Data Entry Screens
    a. Main Menu
    b. Entry
    c. Modify
    d. Filmer
    e. Return
5. Summary Production Report Form

6. System Production Reports
   a. MFPREP
   b. MFSENT
   c. MFRETN
   d. MFRFLM
   e. MFBQCH
   f. MFSTAT
   g. MFDOC
   h. GEODOC

Section 9.2
Micrographics Operations

APDMS Micrographics

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9.2.0 Micrographics - APDMS (Geobureaus)

This section covers all requirements for micrographics operations for filming contracted under the **Agency Project Document Micrographics System (APDMS)** utilized by participating geobureaus and administered by M/AS/ISS/RM. Funding for micrographics activity was terminated effective 1-Jan-93, except under Special Project status.

APDMS was a project begun in 1983 to convert geographic bureau project records to microfiche. The purposes of APDMS were to improve and standardize project documentation practices by creating a central repository for the Agency's official project files while ennabling efficient, multiple access to project management information; to improve control; and maximize the usefulness of project records.

To achieve these objectives, M/AS/ISS/RM coordinated the activities of geographic bureaus offices and the DISC to effect the conversion, storage, and distribution of project documents on microfiche. The bureaus which participated in the APDMS program are the following:

Bureau for Africa
    Africa Regional (ARA)
Bureau for Asia
Bureau for Asia and the Near East
Bureau for Europe
Bureau for Latin America and the Caribbean
Bureau for the Near East
Bureau for Research and Development (formerly the Bureau for Science and Technology)
Office of Procurement (Contracts), Bureau for Finance & Administration
Office of Loan Administration, Bureau for Finance & Administration

Each A.I.D./W bureau office is responsible for document collection and sorting, and operation of their own centralized microfiche file work station. Each set of fiche is arranged by country and major project number sequence. Each project is subdivided into seven major document groups that are color-coded for easy retrieval.

Microfiche collections are periodically updated with documents generated by project activities. File growth is estimated to be ten to twenty-five percent per year. An inventory listing is provided after each update with a cumulative index on microfiche provided each year as required.

9.2.1 Types of Documents to be Filmed

The Development Information Services Clearinghouse films geobureau project documents, or those comprising the 'Agency Project Document Micrographics System' (APDMS), selected according to

specific criteria. They are classified according to the following basic bibliographic or document categorization plan, customized or altered to fit the needs and requirements of the specifc bureau as necessary:

10 Project Development
11 Feasibility Study
12 Market Survey
13 Pre-PID Document, Misc
14 Market Study
15 Proposal
16 Research Proposal
17 Assessment Surveys
18 Assessment & Social Marketing
19 Concept Paper

20 Core Project Documents
21 PID
22 PID Revision
23 PID Approval Document
24 PRP (Pre 1978 Projects)
25 PRP Revision
26 Project Paper / PAAD
27 PP/PAAD Amendment
28 Project Authorization
29 Project Authorization Amendment
30 Grant Agreement
31 Grant Agreement Amendment
32 Loan Agreement
33 Loan Agreement Amendment
34 Waiver, General
35 Core Official Correspondance
36 Loan and Grant Agreements
37 Miscellaneous Agreements

40 Correspondance
41 Cable, Incoming
42 Cable, Outgoing
43 Correspondance, General
44 Financing Request
45 Cables (Incoming-Outgoing Combined)

50 Conditions Precedent to Disbursement

Micrographics - APDMS

51 Condition, Pre-Disbursement
52 Implementation Letter

60 Disbursing Authorization
61 PIO/T
62 PIO/C
63 PIO/P
64 Letter of Commitment
65 Procurement Authorization / Purchase Requisition
66 DRA (Direct Reimbursement Approval)
67 Excess Property Letter / Purchase Order
68 Procurement Plan

70 Contracts / Contract Amendments
71 Contract
72 Contract Amendment
73 IFB / RFP
74 Response to Invitation
75 Awarded Invitation to Bid
76 Work Order
77 Task Order
78 Delivery Order
79 PASA / RSSA
99 Contract Closeout

80 Reports
81 Report, Research
82 Report, Progress
83 Report, Evaluation
84 Report, Audit
85 Report, Final
86 Report, Implementation
87 Report, Trip
88 Report, End of Tour
89 Report, Miscellaneous / Not Elsewhere Classified

A more comprehensive listing of the documents which may comprise these categories is found in **Appendix A** of this section of the Operations Manual.

Micrographics - APDMS

9.2.1.1 Document Control / Job Set-Up (batch controls) Summary

Document control and tracking features of APDMS pertain solely to Micrographics Operations and are built into the MINISIS databases established for each A.I.D. bureau. Document-level controls were established in response to contractual requirements for a five-day turnaround for the filming process. A document's location is identified by a unique combination of batch, box, and sequence numbers. Processing transaction dates are automatically recorded in the documents' associated MINISIS database. Initial document capture, which takes place on-site at A.I.D. is essentially a mnaual process where Document Logsheets are created and DOCID numbers sequentially assigned. Document identification and classification are the responsibility of the client office or M/AS/ISS/RM, but usage of the above listed bibliographic or document categorization plan (bibtypes) is highly recommended.

Document preparation procedures for geobureau work begin with the work of the Document Analysts at the A.I.D. facilities at the State Department complexes in Washington, D.C. or in Rosslyn, VA. The document analyst is responsible for "batching" the documents for entry into the processing system after they have been properly "formatted" by bureau C&R personnel.

Document control is the primary function of on-site activities at A.I.D. with the completion of the following tasks:

1. Completion of the document log cover sheet form
2. Completion of the document log form
3. Completion of the box label form
4. Verification and distribution of incoming fiche

Photocopies of the forms used are included in the Exhibits. On-site staff are also responsible for relaying Client's requests for retrieval of source documents from processing or storage.

Data entered into the Document Log Form is extracted from the source document and/or its folder. For multiple occurrences of a source document within a folder (i.e. cables, PIL's) the documents must be arranged in descending chronological order so that the ending and beginning dates (fields A060, A070) can be determined.

For certain databases, selected document types such as PIO/T's and Core Official Correspondance, may have information entered in the spaces for TITL2 (A050), CNTRAC (A020), and CNAME (A090). This is done at the client office's request, with the approval of M/AS/ISS/RM, to provide additional distinguishing information in the microfiche title area. A detailed description of the affected fields and the addtional information included in them is provided under Database Information.

Document identification, screening, and classification are the responsibility of the client office or M/AS/ISS/RM.

9.2.2 Document Analysis

DISC staff refer to a project title list for the sequence of documents to be removed from the file cabinets located within the Communications and Records (C&R) sections of the participating bureau or office. The following are the procedures for preparing a batch:

1. Remove one (1) project at a time from the geobureau Communications & Records units filing cabinets to avoid the possibility of misplacing or misfiling the materials.
2. Set up a box to receive the documents. Attach a colored label unique to that bureau to the outside of the box and indicate the batch number corresponding to the year and month during which the box is being prepared, and the box sequence within the batch ranging in order from 01 through 99. For example, a box prepared during February of 1992 would have the batch number '9202'. The box number would be whichever number is next in sequence, for example '19'. This batch and box number would appear on the box label as '9202-19.'
3. Prepare a file folder for each unique document if one has not already been prepared. Each file folder should have been formatted by the C&R person within the bureau or office. The file folder should have, as a minimum, the following identification on the folder tab: project number, country, project name, document type, document title, instrument type, instrument number, and contractor name.
4. Each file folder is to contain one document, or one set of documents of the same type. For instance, there may be many cables related to the same project within the same file folder. These are to be organized chronologically by date and submitted together within the same file folder. Implementation letters also follow this rule.
5. Affix a DISC-generated label to the outside of the file folder indicating the Document Identification Number, otherwise known as the DOCID, and a space for the sequence number - the sequence in which it will be placed within the box - to be completed as the box is batched. Geobureau DOCID's all start with the two character prefix "PD" which stands for Project Document. Each geobureau has it's own unique DOCID series. They are as follows:

PD-B@	Africa
PD-J@	Africa Regional
PD-C@, G@, H@	Asia, Near East, Europe
PD-K@	LAC
PD-Q@	Loans
PD-F@	Contracts
PD-W@	Research and Development
PD-P@	Private Enterprise (test)

   The DOCID labels with accession numbers are computer-generated and produced at the DISC by the Systems Development Group (SDG).
6. Identify the bibtype for each document in the project file using the bibtype list for that bureau or office (e.g. Project Development, Core Document, Correspondence, Conditions Precedent

to Disbursement / Implementation Letters, Disbursing Authorization, Contracts / Contract Amendments, Reports). It is preferable for the docments to be sorted numerically according to the bibtype structure.

7. Identify the instrument number for the document as appropriate. This means specifically, but is not limited to, the grant number, loan number, contract number, PIO number, or cable number.
8. Identify the document date(s). Document dates are located (using the last authorizing signature date for documents when applicable and the most significant date available in all other cases). For files with more than one (1) document (e.g., PIO/T's, cables, etc.) locate the earliest dated and most recent document in the file and record both dates. The oldest date is known as the "Begin Date", and the most recent is the "End Date". The logsheet should be filled out accordingly.
9. Locate the Contractor name and A.I.D. contract number when applicable.
10. Remove known duplicate documents and discard.
11. Remove unnecessary pages, such as duplicate and other unrelated material, and forward to appropriate Project Officer through the geobureau C&R representative.
12. Record all fiche header information on a log sheet. Fiche header information may differ from bureau to bureau depending on how they have customized their systems to reflect their records and filing needs.
13. Return the documents to the appropriate record storage box with a label attached, indicating the box and batch numbers,
14. Enclose a copy of the log sheet with each box to be transmitted to the DISC for further processing.
15. Close the box and make arrangements to send it to the DISC via the DISC courier.

9.2.3 Document Preparation

Preparing a document for filming requires two distinct operations; ensuring that a document is physically suitable for filming, and creating a grid sheet to guide the camera operator in filming the document. The desired result is a document that is physically acceptable for filming and organized so that the page sequence of the document is obvious to the camera operator.

Supplies required: staple remover, scissors, tape dispenser with tape, pencils, erasers, "Best Available Document" stamp, "Page Missing" stamp, "Intentionally Left Blank" stamp, filming targets, grid sheets.

1. Log-in boxes received at the DISC for processing. There is a batch control logbook on top of the filing unit used for temporary storage for boxes received. In the logbook, indicate the batch and box number on the logsheet for the originating bureau.
2. Indicate in the batch control log the initials of the person who is going to prep the box.
3. Indicate in the batch control log the date that prepping begins on the box.
4. Find the logsheet in the box batched by the document analyst. Use the logsheet to enter the

fiche header information into the corresponding MINISIS database using the defined procedures and protocols for that specific bureau. See **Appendix B** for detailed procedures for each bureau.

5. Generate a proof listing after information for the complete box has been data entered.
6. Verify and compare the database information on the proof list against the logsheet to confirm its accuracy. Note errors and determine their nature and origin. Verify the information from the logsheet to that of the original document in the file folder. If there are still questions, contact the document analyst or ask the micrographics manager for assistance. Make the necessary corrections using the update mode in MINISIS.

9.2.3.1 Physical Preparation

1. Remove all staples and paper clips.
2. Repair any tears in a document using transparent tape.
3. Enhance illegible pages using the photocopier or, if that fails, attempt to find a new copy. Contact the document analyst for assistance.
4. Print that is smaller than 4 points will probably not reproduce acceptably. Enlarge it on the photocopier when possible so long as information is not lost by making the page bigger than standard 8-1/2 x 11". This is particularly important for worksheets and statistical tables.
5. Trim or reduce oversize pages (larger than 8 1/2 X 11). If a page is reduced, the resulting page should not have characters smaller than 4 points keeping originals with folder but marked "Do Not Film". All bindings must be removed.
6. Trim off the holes of GBC bound documents. Any pages or bindings removed from the original document should be inserted at the end of the copy to be filmed and marked "do not film".
7. Stamp the document "BEST AVAILABLE DOCUMENT" before being filmed if it is not of good quality, but is the only copy available for filming.
8. Substitute a "MISSING PAGE ___" target if pages are missing and a new copy is not readily available.
9. Use the "INTENTIONALLY LEFT BLANK" stamp or the "PREVIOUS PAGE BLANK" stamp on the following page if the pagination sequence includes blank pages.
10. Use only one target if several pages in a sequence are missing.
11. Return it to the supervisor if too much of a document is missing. An effort should be made to find a new copy of the document.
12. Using a pencil, number the pages of the document sequentially beginning with one (1), from the first physical page through the last physical page. The last page number is the frame count which is to be entered into the MINISIS database upon completion of the box. This number should be written on the proof list next to the corresponding DOCID.
13. If a document exceeds the 98 page frame count of one physical fiche, Insert yellow sheets to separate pages appearing on different fiche. Note on yellow sheets (for example) "END 1 OF 4, PAGE 89". Also insert yellow sheets to indicate start of new row on fiche when previous row ends before column 14. Note on sheets (for example), "START ROW C" (for

retrospective project documents only). Insert grid sheet at front of folder so that the document ID number can be read without taking off rubber bands. **Sample grid sheet attached as an exhibit.**

9.2.3.2 Logical Organization

The grid sheet and appropriate targets inserted in the document serve to ensure that the document is filmed in the correct sequence. All questions that the camera operator might have concerning pagination, including missing or oversize pages or blank pages, should be anticipated and reflected on the grid sheet.

1. The grid sheet must contain the DOCID for the document, the number of fiche (e.g., 2 of 4), and the batch/sequence number for the document.
2. Entries must be made in columns 1 and 14 of each row, and wherever the pagination is not sequential.
3. "FILM" should be used to indicate unnumbered pages. Other conventions include "TITLE PAGE", "TOC" (table of contents), "T1" for Table 1, "ANN I" for Annex I, etc. All unnumbered pages should be accounted for on the grid sheet with some readily identifiable tag. "MISSING" and "INTENTIONALLY LEFT BLANK" targets to be filmed should be specifically identified on the grid sheet.
4. "END OF FICHE" targets should be inserted in the document appropriately with the number of the last page on the fiche filled in.
5. The last two frames of every grid sheet should be "RESO" (for the resolution target) and "REFL" (for the reflectance target). If including either of the targets would necessitate an additional fiche, then one or both of these targets should be left off. If there is room for only one target (a 97 frame document), the resolution target should be used.
6. Abstract pages may or may not accompany a document. If one is included, film as frame A1. For retrospective project documents, only one Project Summary Description (PSD) page (with a project abstract) may be included in a project folder that contains many separate documents. In this case, make photocopies of the PSD for the additional documents.
7. Once the documents are completely prepped, a final quality control check should be made for documents out of sequence in the boxes, incorrect header information, and typographical errors in the headers.
8. The headers then are written to a separate disk file and the magnetic tape containing the header data is made from the data in the disk file, using the jobstream called "MF03TAPE". This tape and a corresponding printout should accompany the documents when sent for filming.
9. Update the batch control log to indicate when prepping was completed, when the box was sent to the filmer, and when it was returned.

9.2.4 Filming

Micrographics - APDMS

At present, two boxes of geobureau documentation are sent for filming every other working day, and returned by the filming contractor the second day following, which is the day for the next scheduled pick-up. Geobureau materials are sent to filmers after they have been batched, logged, entered onto MINISIS, prepped, and quality controlled. Enclosed with the box of documents is a computerized list indicating the documents delivered with the corresponding header information. The targeted turn-around time at the filmers during this processing stage is 2 days. Documents being filmed can be retrieved from the filming contractor at any time on a special request basis.

9.2.4.1 Technical Specifications

The microfilming vendor will apply and enforce federal, as well as country-wide, standards in the performance of micrographics operations. Film and suppoies used in microfilming will be of sufficient quality to produce archival quality microfiche as defined in Chapter 101-11.506 et. al., Title 41, CFR. Filming will be at 24X (nominal) reduction ration. The delivered product will be roll fiche (105mm) and will otherwise comply with the dimensions of Type I microfiche, as decsribed in the American National Standard (ANSI PH5.9-1975). Microfiche titles, color codes, and filing schemes will be delivered as specified for each record collection as required.

9.2.4.1.1 Specifications for Microfiche Camera Master Negatives

Camera Masters - Archival Quality
One silver camera master negative and one silver duplicate negative will be produced according to the appropriate federal and ANSI standards for archival quality of these media.

Size: Cut fiche, 105 x 148mm. Film cut marks, squareness, dimensions all to standard ANSI/NMA MS5-1975.

Header: Positive photocomposed, alternate - LED style

Sign: Negative image

Resolution:
Using ANSI method to evaluate a five-point array of 1010 targets which is to be photographed with each document: 150 - 160 line pairs per millimeter at 24X.

Gamma: Below 2.2

Density: As read frin tge unage if a 90% reflective test target, which is to be photographed with each document. Background: D Max (24X) 1.00-1.20; D Max (48X) 0.80-1.20; Line: D Min 0.06 maximum.

Targets: 6-step reflectance chart, and five point resolution target in separate frames.

Reduction Ratios:
- 24X for documents containing pages up to 8.5 x 11 inches in size.
- 29X for documents containing pages up to 9 x 13 inches in size.

Dimensional Layout and Format Requirements:

1. Layout is to be seven rows by fourteen columns with pages filmed in row mode.
2. Overall fiche dimension must conform with those set forth in the standard,

ANSI/MS5-1975.

3. Camera masters must be delivered in roll for with microfiched appearing in document number sequence.
4. Microfiche titles will be positive polarity and contain four lines with a maximum of either characters per line. Title information will be furnished to the filmer in paper form and one of the following forms:
   - nine-track 1600 BPI ASCII, unlabelled magnetic tape
   - floppy disk, either 3.5 or 5.25 inch
   - electronic access
5. The symbol for a numeric slash-zero must not be used in the fiche title.

9.2.4.1.2 Specifications for Microfiche Silver Duplicates

Silver Duplicates - Archival Quality

Size: Cut fiche, 105 x 148mm. Film cut marks, squareness, dimensions all to standard ANSI/NMA MS5-1975.

Header: Positive photocomposed, alternate - LED style

Sign: Negative image, positive title

Resolution: Loss less than one target from master - 5.6

Gamma: Below 2.2

Density: As read from the image of a 90% reflective test target, which is to be photographed with each document. Background: D Max (24X) 0.80-1.30; D Max (48X) 0.80-1.20; Line: D Min 0.16 maximum.

Targets: 6-step reflectance chart, and five point resolution target in separate frames.

Reduction Ratios:

- 24X for documents containing pages up to 8.5 x 11 inches in size.
- 29X for documents containing pages up to 9 x 13 inches in size.

Delivery: Sliver duplicates are to be delivered in cut fiche form, in acid-free, closed-end envelopes.

9.2.4.1.3 Specifications for Microfiche Diazo Duplicates

Size: Cut fiche, 105 x 148mm. Film cut marks, squareness, dimensions all to standard ANSI/NMA MS5-1975.

Film: Black emulsion (Xidex DEH or DEM II)

Resolution: loss less one target from silver master

Density: D Max 1.3 min
D Min 1.0 max

9.2.4.1.4 Quality Control

While these levels are ranges under which acceptable film should fall, film will not be accepted if the

contrast between information and background is not such taht clear, legible copies can be made and the condition is not due to the quality of the material filmed. If the original camara master film does not fall within the acceptable density range, the duplicates will not be "printed up" or "printed down" in order to achieve a print quality which technically falls within the acceptable ranges.

9.2.4.1.4.1 Procedures

1. The duplicator technician receives roll and cut fiche upon return from the microfilming service bureau.
2. Prepare an inspection worksheet.
3. Rewind roll fiche film, checking resolution, clear film density, and test target maximum density per the specifications listed in the previous section.
4. Resolution value must computer to 151 lines per millimeter for masters, 134 lines per millimeter for silver duplicates.
5. Clear film density must measure less than .04 on masters, .11 or less for silvers.
6. Test target maximum density measure between 0.90 and 1.20 for masters and 0.80 and 1.30 for silvers.
7. Record all pass/fail readings on the inspection worksheet. A minimum of six readings will be taken from each (spliced segment) roll of film.
8. Rewind the film again. This time scan for cosmetic defects and typographical errors in the fiche title. Clean the film to be used for duplication during this setup.
9. Report any serious defects to the micrographics manager and the filmer service. Complete the inspection worksheet and forward to the micrographics manager.
10. Repeat the above steps for cut fiche.
11. For defects in the camera master requiring rework, retrieve the source document and initiate refilming procedures. For defects in silver duplicates, verify their presence in the camera master. Obtain refilm or reprint.
12. Working conditions - Clean Room Environment.
    a. No food, drinks, smoking in film handling areas.
    b. Keep film, film handling equipment dust free and off of the floor.
    c. Keep cut fiche in an envelope except withn they are being cleaned, duplicated, or inspected.
    d. Film handling gloves are to be used when handling film or fiche.
    e. Equipment, work surfaces, and work areas are to be kept free of dirt and dust.

9.2.4.1.5 Refilming

The microfilm service bureau will refilm, at their expense, all work that does not meet stated standards when product quality is a result of poor workmanship and filming techniques, inferior or malfunctioning equipment and/or supplies, or any other factgor directly related to the quality or condition of the original document.

Any fiche found out of spec are returned for refilming at the filming contractor's cost. Geobureau fiche that are unacceptable due to errors by DISC processing (e.g., typos in header or incorrectly gridded documents) are returned for refilming at the DISC's cost. Post-filming checks require visual and densitometer inspection of the silver masters and duplicates. Diazo copies are produced accordingly using the Bruning OP-59 fiche duplicator.

9.2.4.1.6 Format

Header information will be provided to the microfilm service bureau in paper form and on either standard nine-track, 1600 BPI ASCII unlabelled magnetic tape; floppy disk, either 3.5 or 5.25 inch; or via electronic access. Records are 81 characters long, with the first character being a carriage control character and 80 characters of data following. The records are fixed, ASCII, with a blocking factor of 32. Each fiche will have four 80 charac ter records on the tape numbered sequentially in the first character of each record. The order of the documents on the tape/disk will correspond to the order of the documents as delivered. All characters on the tape will be upper case.

9.2.4.1.7 Applicable Federal and Industry Standards (as amended)

1. Materials
   a. ANSI PH1.25 Safety Photographic Film
   b. ANSI PH1.28 Specifications for silver photographic film archival, cellulose
   c. ANSI PH1.41 Specifications for silver photographic film archival, polyester
   d. ANSI PH1.43 Practices for storage of photographic film
   e. ANSI PH1.53

2. Product Quality
   a. CFR 41, Chapter 101-11.502a
   b. CFR 41, Chapter 101-11.506
   c. ANSI PH5.9
   d. ANSI PH2.19 Diffuse transmission density
   e. ANSI/ISO 3339
   f. NMA MS5
   g. NMA MS23

9.2.4.2 Diazo Duplication

1. Receive roll of microfiche and Return Date Report from Control Clerk.
2. Using the film rewinds, set up the job as follows:
   a. Check "D Max" and "D Min" densities and resolutions targets. Record readings on the Quality Control Worksheet.
   b. Remove cutmarks from the film for any fiche that are bad as indicated by the microfiche service bureau.

c. Clean the film.
d. Rewind the film and add leader or trailer film, if necessary, for mounting the roll on the duplicating machine.

3. Load the film on the duplicator and make test prints as necessary for adjusting exposure.
4. While maintaining DOCID sequence, make the appropriate number of copies of each fiche according the Return Processor Report.
5. When all fiche have been duplicated, forward the Return Date Report and the diazo duplicates to the microfiche inserting clerk.
6. Receive diazo duplicates and appropriate Return Date Report.
7. Using the bureau bibliographic color code table as a guide, insert each microfiche record into the appropriate colored envelope.
8. When all records have been inserted, place them in DOCID sequence and check to see that the appropriate number of copies (according to the Return Date Report) are on hand. If not, obtain the required copies from the Duplication Technician.
9. Using the Return Date Report and labelled sorting bins as guides, sort the microfiche according to the distribution required. Maintain DOCID sequence until sorting is complete.
10. Bundle and label the sorted fiche indicating the Distribution Office and Box Number.
11. Pack all sorted microfiche and the copy of the Return Date Report into container(s) and label the container(s) with the batch, box and bureau name.
12. Forward the container to the control clerk for shipping.

9.2.5 Storage

9.2.5.1 Storage: Fiche

The original masters are accumulated at the DISC, after which they are transferred periodically to the climate controlled, secure and fireproof offsite storage facility of our storage vendor. This facility meets the contractual technical specifications and ANSI standards regarding archival offsite storage and disaster recovery. Transfer of microfiche masters to the offsite storage vendor occurs roughly twice a year.

The silvers and working collection of diazos are kept in DOCID order at the DISC in the eight-drawer fiche filing cabinets located in the micrographics operations area.

Geobureau central file microfiche collections are stored in eight-drawer microfiche file cabinets located in the geobureaus themselves. Supplemental collections may be housed in plastic (Luxor) fiche storage trays at various locations within the Agency depending.

9.2.5.2 Storage: Hardcopy and WNRC Instructions

APDMS hardcopy documents are accumulated until approximately fifty (50) official archive boxes can be filled. At that time they are shipped to the WNRC where administration of retention schedules

and disposition actions is the sole responsibility of AID.

Subject: Transferring RIMS Hardcopy Project Documents to Federal Records Center

Needed: 50 archival boxes on top of fiche file cabinets in Elsie's area.

The purpose of this exercise is to get rid of all the paper copies of project documents that have been microfilmed.

All bureaus for which there are documents at the DISC are to be included - with the significant exception of the Contracts office which has different disposition instructions. Boxes from Africa, Asia, Near East, LAC, and the Energy and Education Offices from Global Program bureau are to be used.

Read the attached instructions from the records management office entitled "**AID Procedure for All Filmed Documents to be Transferred to Washington National Federal Records Center**". If you can make sense of them, congratulations. If you can't, that's okay. My take on it is something along the following procedures:

1. Locate the archive boxes in Elsie's area.

2. Do not make any permanent marks on the archival boxes until the end when you absolutely know what goes where. Use stick'ems or staple a piece of paper with tracking information.

3. Prepare a master list of all eligible bureau boxes by bureau, batch and box number.

4. Prepare a preliminary worksheet that you can mark up by hand. The left hand column should be the master list of bureau, batch and box number. The right hand column will indicate the number of the archive box we will be sending to AID/FRC. This is an internal tracking / control method so we know what has gone into where. We will use it later.

5. The archive boxes are supposed to be packed tightly. But not so tightly that the box bends or bulges. The archive boxes may or may not hold as much as is contained in one of the APDMS batch boxes. It doesn't matter as long as the archive boxes are **full**. Refer to Section D. Packing Boxes on the enclosed instruction sheet.

6. Pack one bureau at a time until done. If the last batch/box for a bureau does not completely fill an archive box, fill it up from the first box from the next bureau and so on.

7. Note on your logsheet what (bureau-batch-box) goes into what archive box.

8. Run a stream job to print out a "shelf list" to identify the contents of the archive box.

9. Generating this list will have to take into account the fact that some documents have been removed for addition to DOCRD. I believe these can be identified by running a stream job against DOCRD to create a hitfile of all bureau documents added since the bureau batches were processed through RIMS/APDMS. These DOCID's can then be saved and printed to a MINISIS file to be used later as a USING file.

   For example, SNT docid's start with PDW. In DOCRD,

```
reflect off
=DOCID PDW@
and cdate > 199308@
save rndhit
exit
:file outfl=rndxxx;dev=disc;nocctl
!p
sntrd
xxxxx.pf (print format printing only DOCID)
hitfile=rndhit
end
exit
!eoj
```

10. Query the bureau database and create a hitfile for all documents created for the batches and boxes at the DISC. Save the hitfile. (hitfile1)

11. Run the using file as a query in the relevant bureau database and save the subsequent hitfile. (hitfile2)

12. =hitfile1 and not hitfile2 will give you the accurate shelf list.

13. Compare the shelf list to actual box contents.

14. Do something like that for all the relevant bureaus.

15. A new print format will have to be created to be used as the shelf list. The fields on the shelf list should include project number, project title, subactivity name, bibname, contract number, contractor, begin-end year at a minimum. The printed list should identify the documents in sequence order as they are packed in the archive box. Sequence number does not have to be printed, but the order of the documents has to match their physical location in the box.

16. Then we'll see where we're at and can go about completing whatever forms are necessary as well as assigning lot and box numbers to the archive boxes.

A.I.D. PROCEDURE FOR ALL IMAGED DOCUMENTS TO BE TRANSFERRED TO THE WASHINGTON NATIONAL FEDERAL RECORDS CENTER

(A) DOCUMENTS HANDLING PROCEDURE

Before scanning, the documents are to be prepped and placed into boxes in the order of scanning. (See procedures below on how to properly pack them). This is necesary so we can easily locate the documents. The documents will be scanned onto CD-ROM diskettes.

(B) VERIFICATION OF IMAGES

The imaging on CD-ROM must be verified on a regular basis, this is called quality control. If the images are not clear or readable, they must be re-scanned. Upon completion of quality control, the images will be permanently stored on CD-ROM diskettes, they can not be changed or re-written once this is done.

(B) AUTHORIZED APPROVAL

Prepare a memorandum to the person responsible for getting approval before proceeding with preparation of shipping the boxes to WNRC.

(C) PREPARING SHELF LIST

a. A shelf list is prepared by filling out an SF-135 in triplicate. SF-135-A is a continuation sheet, but should be treated as a first page. SF 135 constitutes the first page of the two-part form and is filled out by the AID/W Depository and sent to WNRC. See below on completing the shelf list:

(1) Leave columns (a) through (d) blank.

(2) For columns (e), Agency box Numbers, give the simple numerical order of the boxes.

(3) Under Series Description (f) list the folder, using the titles and dates on the folder labels.

(4) Leave column (g) blank.

(5) Under Disposal Authority (h) cite HB21 (HB21 and the appropriate disposition item number from the Disposition Schedule (App. 6A-6C). Check the Disposition Schedule for the A GRS citation, under column headed Authorized Disposition. If one is listed, enter that citation under the above-mentioned Item number. This Citation critical for the use of WNRC.

(6) Under Disposal Date (i), compute from the Files Plan or the Schedule the destruction date and list it. If there is more than one retention date for the files, compute the destruction date using

the latest retention date, WNRC will use this date as its guide of destruction of the files.

(7) Leave the remaining columns on the form blank.

USE THIS PROCEDURE IF SF-135 IS UNAVAILABLE

Prepare a shelf list on plain paper in the following manner.

(1) On the first few lines, give a brief description of the files being retired, their inclusive dates, and the highest security classification.

(2) List the boxes in sequence, beginning with box number one.

(3) List the titles, fiscal year or date span (earliest to latest date) of each folder label in the order that the folders are arranged in the box. If the information does not appear on a label. Check inside the folder and add the information thta will be the label. (Note: if all the folder labels in a file group are from the same date span, show the date span in the group heading, not for each item.)

(4) In the Disposal Authority column, cite HB21 and the item number from the office Files Plan or the Records Disposition Schedule. Compute Disposition Date and list GRS citation as described in above (5).

(D) PACKING BOXES

The only boxes the Washington National Records Center will accept are the Standard size Record boxes. Boxes must be filled to capacity.

The procedures are as follows:

Use standard one-piece cardboard records storage and shipping boxes, 14 3/4" X 12" X 9 1/2". Boxes will not be repacked.

(1) Assign boxes a lot number. All files withing a given lot must have the same date and mujst not contain a mix of classified and non-classified documents.

(2) Pack records into the folder, in the same order as they were scanned onto CD-ROM. Face all folder labels in the same direction. All letter-sized folders must face the front of the box (the end with the label) and all legal-sized folders must face to the left (when you look at the box from the front).

(3) Pack boxes so that the folders can be taken out easily. Do not overpack them or strain the seams. Stuff newspapers into partially filled boxes to prevent the folders from shifting.

(4) Wrap oversized documents such as accounting ledgers, rolled maps, or engineering drawings, with heavy kraft paper.

(E) Labeling Boxes

Place all Lot Numbers are the lower left-hand corner of the front of the box. Mark all sequence numbers in the upper right-hand corner of the front of the box. (The front of the box is any short end dimension that has no staples in it or writing).

The procedures are as follow:

(1) Do not attach labels to boxes. The glue on labels dries out over time and labels fall off.

(2) Mark each box on the front end. Include on it, each box number and lot number. The lot number is obtained by e-mailing or calling the AID record depository, and is placed on the boxes as well as on Form 5-45. No other information is needed on the box labels since the lot number serves as the link between the boxes and the identifying information on Form 5-45.

(F) Pick-up Arrangements

Submit a copy of A.I.D. Form 5-7 Requisition to Records Management Branch to arrange the transfer of nor more than **50 boxes** to the Washington National Records Center.

Type and forward three copies of both Form 135's (Records Transmittal and Receipt) and Form 135-A Shelf list, to the Records Management Branch in room B930 NS. Records Management will coordinate with the offices and the Washington National Records center to pick-up Records boxes from the loading dock.

Complete A.I.D. Form 5-45, Notification of Retirement of Inactive Files, in triplicate, for each lot. The lot number on the form is obtained by calling or e-mail to the Vault Supervisor in Records Management Branch, and place it on the box label as well. Also, the WNRC accession number block should be left blank as the Vault Supervisor will assign it a number when he receives the form. Send the two copies of A.I.D. Form 5-45 to the A.I.D. Records Depository in Room B-531, NS. Form 5-45 will be held in Vault, 531B.

Close the boxes by interfolding the top of the boxes. Do not tape them.

9.2.6 Distribution/Updating of fiche jackets within bureau

Newly filmed project documents are sent to the originating geobureu as processing is completed. Microfiche diazos are sent to each bureau after the filming process has been completed. One (1) diazo copy for each master fiche is created and distributed to appropriate bureau's (i.e., Africa, Asia,

Near East, LAC, Contracts, etc.), except for LAC which receives three (3). The diazo copy goes to the bureau Central working file.

9.2.6.1 File Organization

The microfiche files are organized using a three-level system that is flexible enough to accommodate the variety of documents generated by a typical project, yet logical and simple to use. The three levels used are:

- Project or sub-project number
- Major document category
- Microfiche title (document specific)

Project level organzation: The fiche file is organized in project (and sub-project) number sequence, separated by index tabbed dividers that contain the project number.

Major document categories: Within each project level are seven groups that are defined by different colored bands printed on the microfiche envelopes. These correspond to the document categorization plan, or bibtypes, listed earlier in this section. The group headings are: Project Development, Core Documents, Correspondance, Disbursing Authorizations, Contracts, Reports, and Conditions Precedent to Implementation.

Microfiche Title Organization: This part of the microfiche contains the information necessary to uniquely identify each fiche document. When a given project contains more than one specific bibtype, the information on the microfiche title provides the additional detail necessary to identify the specific microfiche needed. Typically, this additional detail includes some of the following: Contractor Name, Contract Number, IFB/RFP Number, Amendment Number, PIO number, Report Number, Grant Number, Loan Number, PIL Number, Document Dates, and Project/Subproject Information.

When the microfiche includes more than one amendment, the amendment documents are arranged in descending amendment number sequence starting at the beginning of the fiche. Correspondance is arranged in descending chronological sequence, with the most recent documents placed toward the beginning of the microfiche. Otherwise, documents are arranged in ascending page number sequence.

9.2.6.2 Microfiche Filing and Retrieval

Locating a particular microfiche requires a knowledge of the project number and the document type. The steps include:

1. Match the project number on the fiche with the index tab in the file.
2. Locate the fiche envelope color corresponding to the major document group within the project file.
3. Locate the document bibtype and other specific information using the fiche title.

4. Microfiche are in chronological sequence within the bibtype group.

9.2.6.3 Viewing Microfiche

The pages in an APDMS microfiche are organized in a 7x14 grid of images arranged from left to right and top to bottom. If a document is more than ninety-eight frames (pages) long, it may be filmed on several fiche. Each microfiche frame is a negative appearing image and is about one twenty-fourth of the original page size.

The microfiche distributed in APDMS are actually diazo duplicates of the camera master negatives. Diazo, a process similar to blueprinting, is a widely used microfiche medium because of its high output quality and low cost.

The photographic and material quality of APDMS microfiche are in compliance with Federal and industry standards. Complete specifications are listed in CFR Title 41, Chapter 10.

9.2.6.4 Variable Distribution Processor

Purpose: To provide a means of assuring proper distribution of microfiche to geobureaus requiring variable distribution of microfiche among its offices.

Prerequisites:

a. List of new project numbers and distribution codes as required.
b. Access to bureau data base menu.
c. Microfiche that have been filmed and returned by the service bureau.
d. Box - batch number of records returned.
e. Records for box/batch must be in fiche group. This is done through the Filmer Processor submenu option for print format and file listing.
f. Codes for distribution offices.

9.2.6.4.1 Running the Distribution Processor

Note: Steps 1 through 9 and 12 can be run prior to actual return of the microfilm to check missing distributions in advance.

1. Follow log-on procedures, request bureau menu and the "Distribution" option number.
2. Enter box/batch number when prompted, in the format BxxxxBYY, where Bxxxx is the batch number and BYY the box number.
3. For each project number and associated distribution displayed, respond to the prompt: "Y" if changes are required, "N" or "RETURN" if no changes are required. If "N" and or "RETURN" is keyed, the next project number and distribution for the box is displayed.
4. If "Y" is entered, the computer will request option numbers for distribution offices. Enter the option numbers (separated by a comma) for <u>all</u> office codes in the distribution required. Key

"RETURN".

5. The computer will display "old" and "new" distribution office codes and request ("Y" or "N").
6. If "new" distribution is correct, key "N" and or "RETURN".
7. If "new" distribution is not correct, repeat step 5 until the distribution is correct.
8. If the distribution is unknown, the process can not be completed. Refer to Document Control Log Sheet to make sure that the project number displayed is correctly entered. If the number is incorrect, a separate set of procedures must be followed. Otherwise, the options are as follows:
   a. Request DISC document analyst working in the appropriate A.I.D. bureau to obtain the required information.
   b. Request the micrographics manager to obtain the required information from the appropriate A.I.D. bureau contact person.
   c. Skip (key "N" and or "RETURN") the project in question and continue through the processor. When this option is taken, the distribution will be incomplete and a return date cannot be added. Also, follow-up action using one of the above options must be taken after exiting the processor.
9. When the distribution processor is completed, the computer will prompt for the Return Processor. Key "Y" to run the Return Processor.
10. The computer will then run the Return Processor, enter the current date, then display a job number indicating that the Return and Date Report is being printed.
11. Make one photocopy of the Return Date Report and forward the original to the micrographics supervisor if needed. Release the roll of microfilm to be copied and the duplicate report to the diazo duplication technician. Foward the cut fiche and the fiche header printout to the microfiche librarian.
12. If any distribution is changed or if distribution is incomplete, a report called the Distribution Processor Report is generated. Retrieve this report and forward it to the micrographics manager.

9.2.6.4.2 Mission Collection Distribution

All U.S.A.I.D. missions can acquire the complete APDMS document sets for their respective missions if desired. Upon the mission's completion and submission of a purchase order with the appropriate fiscal data, the microfiche set will be reproduced and forwarded to the missions along with a user's guide and suggestions for obtaining the necessary micrographics equipment and supplies, such as a reader or reader/printer, to view and reproduce hardcopies.

An example of the APDMS Mission Fiche Collection price schedule is included in **Appendix X**. It is updated monthly using bureau-specific stream jobs to quantify the number of documents in the collection and the frame counts for those documents. The charges are calculated based on costing formulas used in the Lotus worksheet title "APDMSPRIC.WK1".

9.2.7 Management Controls

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Geobureau monthly statistics/status reports are generated for A.I.D. describing micrographics operations, activities, and production volumes during the month just completed and the overall status of the project by scheduled activities. A sample monthly report is included as **Appendix C.**

Procedures for monthly progress report for M/AS/ISS/RM

STEP A:

During the reporting month data should be compiled utilizing the outline below.

I. Current Month Activities
- a. Description of work completed/in process
  1. Africa Bureau
  2. Asia Bureau
  3. Europe Bureau
  4. Near East Bureau
  5. Latin America/Caribbean Bureau
  6. Bureau for Management (Procurement Office)
  7. Bureau for Personnel & Finance (Loans)
  8. Bureau for Research and Development
- b. Staffing
  1. Special assignments
  2. New hires/terminations
  3. Position changes
- c. Statistics
  1. Documents
  2. Fiche
  3. Frames
  4. Boxes
  5. Financial

II. Problems or Concerns
- a. Personnel
- b. Filming services
- c. Micrographic supplies
- d. Micrographic equipment
- e. Quality Assurance

III. Plans for Next Month
- a. Scheduled staffing
- b. Scheduled updates

c. Equipment/supply purchases
d. Meetings/training

STEP B:

Beginning from the first through the sixth working day of the next month, text data and statistics should be complied, reviewed and
edited.

STEP C:

By the seventh/eighth working day of the same month, the file and statistics should be in their final form and printed up for signature by the project manager.

STEP D:

By the ninth working day, the entire report, including statistics, will be submitted to Jim Booth for review and his signature before distribution.

STEP E:

By the eleventh working day, no later than the 12th working day, the report will be distributed as follows.

1. M/AS/ISS/RM COTR - original with financial data + 3 copies
2. PPC/CDIE/DI COTR - 1 copy with financial data
3. DISC/Project Director - 1 copy with financial data
4. DISC/Project Administrator - 1 copy with financial data
5. DISC/Deputy Project Director - 1 copy with financial data
6. APDMS/On-site Coordinator - 1 copy without financial data
7. APDMS/Micrographics Manager - 1 copy with financial data

9.2.8 Retention Schedules: Document Disposition

Master camera negatives are considered to be part of the Agency's permanent record and therefore are governed by the retention schedules identified in Handbook 21, Part II, Chapter 6 and Appendix 6A as amended, as well as NARA guidelines.

The applicable records series numbers are 01190 (original silver master microfilm or silver duplicate for the Development Assistance Project File), and 1200 (computerized index to project). These are considered permanent records with the following disposition instructions:

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01190 Permanent. Review the automated index to project data base annually and indicate closed projects. Transfer microfviche with following images to NARA in 5 yr blocks when most recent record is 2 years old; All pre-PID documents, project paper or equivalent, core official correspondence, and all reports.

01200 Permanent. Transfer pertinent port of index in ASCII (or EBCDIC) format to magnetic tape. Offer magnetic tape with all necessary documentation to NARA with corresponding project records.

These procedures apply to the DISC management of the retirement or destruction of **microfiche** produced through the APDMS program. Documents eligible for retirement or destruction will be identified through a list of officially terminated projects - listed by project number - provided and authorized in writing by the A.I.D. geobureau responsible for those projects. Said authorization will be on A.I.D. Form 520-3, Authorization for Retirement and/or Destruction of Microfiche Records. The form should be signed by the senior, authorized representative overseeing Agency records management activities. No action can be taken until a signed authorization is received by the DISC.

Eligible APDMS documents which have been acquired for the DIS DOCUMENT database are excluded from this procedure, unless eligible under specific retention shcedules. Classified materials are not currently nor have they ever been part of the APDMS system, nor is the disposition of such materials subject to these procedures.

Sample documentation, stream jobs, forms, and printouts are included at the end of this section.

Preparations and Materials Needed:

1. Handbook 21, Part II, Appendix 6A - Retention Schedules.
2. A.I.D. Form 520-3 (with Part I completed by A.I.D., accompanied by a verified and authorized list of terminated project numbers.)
3. Acid-free certified microfiche containers.
4. An agreement or capability statement by the vendor for certified destruction of microfiche.
5. A list of document type codes (bibtypes) for the APDMS program.
6. A list of APDMS document type codes (bibtypes) to be retired or archived.
7. Skills in the use of MINISIS.

9.2.8.1 Retirement procedures

1. Obtain from the Agency's records management office (M/AS/ISS/RM) a bureau-authorized / approved list of projects eligible for disposition within retention schedule guidelines. Normally these will be terminated projects. The list can be generated using the PROJAUTH or PROJECTS databases on MINISIS at the DISC. Create hitfiles based on STATUS=C or

STATUS=T (C=Closed, T=Terminated). The A.I.D. generated listing should specify project and sub-project numbers and be accompanied by a copy of A.I.D. Form 520-3, or its equivalent, with Part I - "Disposal Authority" - completed by A.I.D.

2. Run the cluster of geobureau-specific stream jobs (see Attachment #1) which produces a listing of the documents for disposition as defined below:

   (a) Fiche of documents to be retained. These are documents which have been culled from the APDMS collection and for which records have been created on the DIS. They are identifiable by their DOCID which begins with PD (and the sequence specific to a geobureau. i.e. PDB@ - Africa, PDK - LAC, etc.) These documents are usually of a design and evaluative nature and are considered permanent records of the institutional memory. They are not to be retired and are to be excluded from the remainder of these retirement and destruction procedures.

   (b) Fiche of documents to be retired. These documents are defined on A.I.D. Form 520-3. They include all pre-PID documents, project papers or equivalents, core official correspondance, and all reports. A listing of these documents and their associated bibtypes appears in Attachment #2.

   (c) Fiche of documents to be destroyed. Documents which are not to be retired or retained on the DIS are to be destroyed following official instructions on A.I.D. Form 520-3. As of this date, verbal authorization from the records management COTR (Poehls) indicates they can be thrown into the trash.

3. For the documents identified for retirement, retrieve the microfiche camera masters, direct silver duplicates, and any diazo duplicates stored at and maintained by the DISC.

   Also retrieve the microfiche camera masters and direct silver duplicates stored in the vault of the offsite storage vendor. Create a list of identified documents and cross-reference it with the inventory listing of the offsite storage vendor to determine the physical storage location in their warehouse. This is necessary in order to prepare a "withdrawal" transmittal sheet which is forwarded to the vendor who then pulls the boxes from the shelves and puts them in a working area where DISC personnel can retrieve the needed fiche masters and silvers. The withdrawal sheet will indicate "permanent" removal.

4. Pack the microfiche camera masters and direct silver duplicates into acid-free microfiche storage boxes as certified by the manufacturer. The masters and silvers can be in separate boxes as long as each box is adequately labelled. Each box is to be identifed with a **lot number**, to be provided by the Agency's records management office (M/AS/ISS/RM), and a **box number**. The lot numbering information must appear on the lower left had corner of the box. The box number, beginning with the number one (1), must appear in the upper right

hand corner of the box.

5. The computerized index for these records is to be transferred to **magnetic tape** and accompany the boxes when retired. The index should be organized in such a way as to identify the retired records in each box.

   a. The format for the records on the tape can be one of three options: ISO 2709, tagged, or positional. Tagged is similar to the print format AFRB18PF.PF which identifies the field and the contents of the field. Positional means identifying the position of the field and its length within a record. For instance, country is positions 1 through 40, project number position numbers 41 through 50, project title 51 through 90, etc. Positional is the generally accepted standard according to NARA.

   b. Tapes will be on one-half inch 7 or 9 track tape reels, written in ASCII or EBCDIC, with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block or file) blocked no higher than 30,000 bytes per block at 800, 1600, or 6250 bpi.

   c. The tapes on which the data are recorded shall be new or recertified tapes (see 36 CFR 1234) which have been passed over a tape cleaner before writing and will be rewound under controlled tension.

   d. Documentation adequate for servicing and interpreting records that have been designated for preservation by NARA will be transferred with them. This documentation shall include, but not necessarily be limited to:

      (1) A completed Standard Form 277, Computer Magnetic Tape File Properties, or its equivalent.
      (2) Where it has been necesssary to strip data of extraneous control characters, the codebook specifications defining the data elements and their values must match the new format of the data.

      For our purposes, the relevant geobureau DDT or database structure must accompany the tapes to facilitate retrieval and use by NARA staff. This can be printed from the MINISIS menu, selecting DDT, or photocopying a DDT from the micrographics manager's DDT notebook.

   e. The boxes and the magnetic tapes are to be delivered to the A.I.D. Vault. the Agency's records management office (M/AS/ISS/RM) should be contacted when they are ready to be delivered.

6. Forward the retirement documents along with a completed copy of A.I.D. Form 520-3, a copy of the microfilmer's certificate of archival processing, and a copy of the fiche container manufacturer's certificate of archival quality to the Agency's records management office (M/AS/ISS/RM). A.I.D. personnel will complete A.I.D. Form 258 for fiche/tape, and A.I.D. Form 277.

7. Database maintenance: Modify the appropriate APDMS geobureau MINISIS database to indicate disposition. This will include entering a date in the "Date Archived to NARA" field (A140).

APDMS Microfiche Disposition Action Instructions

1. Follow instructions in the procedures manual. Generate a list of closed and terminated projects from the projects database. Send it to records management who will, in turn, send it to the bureaus for approval and authorization to dispose of fiche. Document the search strategy and keep a copy of the printout at the DISC.

2. Streams jobs (AFROTP94.STREAMS, AFRXTP94.STREAMS, AFPULL94.STREAMS)

3. **Create hitfiles from PROJECTS and DOCRD for use as geobureau query "using" files.**

4. **Projects Database**
   (a) Identify all projects for the geobureau you're interested in. (e.g. P000=6@ for africa)
   (b) Exclude any countries or projects that don't belong in that bureau's set (e.g. any african ne countries, 608 morocco, 664 tunisia, etc.)
   (c) Determine closed projects (STATUS=C)
   (d) Determine terminated projects (STATUS=T)
   (e) Save the hitfile of all bureau projects that have been closed or terminated.

```
        :q
        projects
        reflect off
        =p000 6@
        and not p000 608@
        and not p000 664@
        and not p000 6120234
        and not p000 6630006
x
        status c
        or status t
z
```

```
x and z
save afrp00
```

(f) Index the hitfile by project number to put them in order for printing to a working MINISIS file.

```
:in
projects
hitfile=afrp00
output=afrp01
key=P000,length=10
field=p000
end
***
```

(g) Create a working file which can be edited. Contents of print file should be the "or a000 xxxxxxxxx". This will be converted to a using file for generating hitfiles in geobureau database.

```
:file outfl=afra00;dev=disc;nocctl
:p
projects
lacpro                    (print format)
hitfile=afrp01
end
```

(h) Edit the working file into using files.

```
:editor
/t afra00
k afra01(1/200)
k afra02(201/400)
k afra03(401/600)
k afra04(601/800)
k afra05(801/1000)
etc.

/t afra01
d 1/2
g all
m1
delete "or" and change to "=" for query
```

(delete blank lines)
"or a000 1234567"
dddi=
=a000 1234567
g all
k
[already exists... save new? Y]

<edit all (however many there are) the files into using files.> Limited to 225 (or so before stack overflow) queries per job, that is why only 200 (nice, even number).

5. **DOCRD**

(a) Create hitfiles for any APDMS DOCID's on DOCRD for the geobureau in question. i.e. for Africa ->

```
:q
docrd
reflect off
=DOCID PDB@
or DOCID PDJ@
save afkeep
```

(b) Index on docid to put them in order.

```
:in
docrd
hitfile=afkeep
output=afrd00
key=docid,length=14
field=docid
end
***
```

(c) Create a working file which can be edited. Contents of print file should be the "or docid xxxxxxxxx". This will be converted to a using file for generating hitfiles in geobureau database.

```
:file outfl=afrx00;dev=disc;nocctl
:p
docrd
docidotp.pf                    (print format)
hitfile=afrd00
end
```

(h) Edit the working file into using files.

```
:editor
/t afrx00
k afrd01(1/200)
k afrd02(201/400)
k afrd03(401/600)
k afrd04(601/800)
k afrd05(801/1000)
etc.

/t afrd01
d 1/2
g all
m1
delete "or" and change to "=" for query
(delete blank lines)
g all
k
[ already exists... save new? Y]
```

6. **Creating Hitfiles: Geobureau Database**

(a) Run the stream job AFROTP94.streams (or name of specific geobureau).

```
t afrotp94.streams
/l all

1   !job AFROTP94,scott.min;pri=es
    2   !comment creates hitlist of terminated
    3   !comment AFROutToPasture for FY94
    4   !comment creates three hitfiles:
    5   !comment afdc94, docrd items which must be retained
    6   !comment afrt94, items which may be retired
    7   !comment afdy94, items which may be destroyed.
    8   !purge afdc94
    9   !purge afrt94
   10   !purge afdy94
   11   !purge afbb94
   12   !purge afdc94dd
   13   !purge afrt94dd
   14   !purge afdy94dd
   15   !purge afbb94dd
```

```
16  !PURGE AFPROJ
17  !PURGE AFPROJDD
18  !purge afa
19  !purge afb
20  !purge afc
21  !purge afd
22  !purge afe
23  !purge afkp1
24  !purge afkp2
25  !purge afkp3
26  !purge afkp4
27  !purge afkp5
28  !purge afkp6
29  !purge afkp7
30  !q
31  afrbrd
32  *setsdi on
33  using afrd01
34  save afkp1
35  $
36  *setsdi on
37  using afrd02
38  save afkp2
39  $
40  *setsdi on
41  using afrd03
42  save afkp3
43  $
44  *setsdi on
45  using afrd04
46  save afkp4
47  $
48  *setsdi on
49  using afrd05
50  save afkp5
51  $
52  *setsdi on
53  using afd06
54  save afkp6
55  $
56  *setsdi on
57  using afd07
```

```
58  save afkp7
59  $
60  =hitfile afkp1
61  or hitfile afkp2
62  or hitfile afkp3
63  or hitfile afkp4
64  or hitfile afkp5
65  or hitfile afkp6
66  or hitfile afkp7
67  save afdc94
68  $
69  default bcode
70  =11
71  or 12
72  or 13
73  or 14
74  or 15
75  or 16
76  or 17
77  or 18
78  or 19
79  or 26
80  or 27
81  or 30
82  or 31
83  or 35
84  or 52
85  or 81
86  or 82
87  or 83
88  or 84
89  or 85
90  or 86
91  or 87
92  or 88
93  or 89
94  save afbb94
95  $
96  *setsdi on
97  using afra01
98  save afa
99  $
```

```
100  *setsdi on
101  using afra02
102  save afb
103  $
104  *setsdi on
105  using afra03
106  save afc
107  $
108  *setsdi on
109  using afra04
110  save afd
111  $
112  *setsdi on
113  using afra05
114  save afe
115  $
116  =hitfile afa
117  or hitfile afb
118  or hitfile afc
119  or hitfile afd
120  or hitfile afe
121  save afproj
122  and not hitfile afdc94
123  and hitfile afbb94
124  save afrt94
125  HITFILE AFPROJ AND NOT HITFILE AFRT94
126  AND NOT HITFILE AFDC94
127  AND NOT HITFILE AFBB94
128  save afdy94
129  exit
130  !PURGE AFBB94
131  !PURGE AFBB94DD
132  !eoj
```

7. **Indexing and Printing Listings: Geobureau Database**

(a) Run the stream job AFRXTP94.streams (or name of specific geobureau).

```
/t afrxtp94.streams
/l all
```

```
1  !job afrxtp94,scott.min;pri=es
2  !comment indexes and prints search results
```

```
3   !comment from afrotp94 series.
4   !comment afrotp94 hitfile: afdc94 (retain)
5   !comment afrotp94 hitfile: afrt94 (retire)
6   !comment afrotp94 hitfile: afrdy94 (destroy)
7   !purge afra94
8   !purge aftc94
9   !purge afyd94
10  !in
11  afrbrd
12  hitfile=afdc94
13  output=afra94
14  key=cntry,length=40
15  field=cntry
16  end
17  key=a000,length=10
18  field=a000
19  end
20  key=a180,length=40
21  field=a180
22  end
23  key=a050,length=21
24  field=a050
25  end
26  ***
27  !p
28  afrbrd
29  afkeep94.pf
30  hitfile=afra94
31  end
32  !in
33  afrbrd
34  hitfile=afrt94
35  output=aftc94
36  key=cntry,length=40
37  field=cntry
38  end
39  key=a000,length=10
40  field=a000
41  end
42  key=a180,length=40
43  field=a180
44  end
```

```
key=a050,length=21
field=a050
end
***
!p
afrbrd
afret94.pf
hitfile=aftc94
end
!in
afrbrd
hitfile=afdy94
output=afyd94
key=cntry,length=40
field=cntry
end
key=a000,length=10
field=a000
end
key=a180,length=40
field=a180
end
key=a050,length=21
field=a050
end
***
!p
afrbrd
afdes94.pf
hitfile=afyd94
end
!submit afpull94
```

8. **Print Pull Lists: Geobureau Database**

(a) Run the stream job AFPULL94.streams (or name of specific geobureau). Submission of this job should be automatic, as it is the last command in AFRXTP94.streams.

```
/t afpull94.streams
/l all
!job afpull94,scott.min;pri=es
!comment indexes and prints pull lists by docid
```

```
!comment from afrotp94 series.
!comment afrotp94 hitfile: afdc94 (retain)
!comment afrotp94 hitfile: afrt94 (retire)
!comment afrotp94 hitfile: afrdy94 (destroy)
!purge afpudc
!purge afpuct
!purge afpudy
 !in
 afrbrd
 hitfile=afdc94
 output=afpudc
 key=docid,length=14
 field=docid
 end
 ***
 !p
 afrbrd
 puafkp94.pf
 hitfile=afpudc
 end
 !in
 afrbrd
 hitfile=afrt94
 output=afpuct
 key=docid,length=14
 field=docid
 end
 ***
 !p
 afrbrd
 puafrt94.pf
 hitfile=afpuct
 end
 !in
 afrbrd
 hitfile=afdy94
 output=afpudy
 key=docid,length=14
 field=docid
 end
 ***
 !p
```

```
45  afrbrd
46  puafdt94.pf
47  hitfile=afpudy
48  end
49  !eoj
```

9. **Review the printouts**
   (a) Verify list of documents to be retained.
   (b) Verify the list of documents to be retired and make sure they are comprised of ONLY the bibtypes that can be retired.
   (c) Verify the list of document that can be destroyed and make sure they are comprised of ONLY the bibtypes that can be destroyed. Look for bibtypes that should be retired or retained at the DISC.

10. **Acquisitions review of Retired list.**
   (a) Give acquisitions a list of the document scheduled for retirement. They will review it and identify any documents they want to add to the DIS. These documents are then to be excluded from processing. It may be necessary to redo the hitfiles at the end of the OTP94 job to excluded these documents.
   (b) Identify documents to be added to the DIS.
   (c) Exclude these documents from processing. It may be necessary to redo the hitfiles at the end of the OTP94 job to excluded these documents.
   (d) Rerun the printouts excluding the "acquired" documents.

11. **Pull silvers at DISC.**

12. **Identify storage location of masters at offsite storage vendor location.**
   (a) Use pull list in docid order. Make a copy of it.
   (b) Identify the warehouse box numbers for specific docid ranges. This should show what boxes the corresponding masters are in.
   (c) Prepare an Iron Mountain transmittal sheet(s) identifying the boxes to be worked with.

13. **Pull masters from offsite storage vendor.** Either:
   (a) Request that these boxes be pulled into their onsite work area where our people can work with them; or -
   (b) Pull the boxes back to the DISC where they can be processed.
   (c) Return the boxes to storage when the fiche have been pulled.

14. **Prepare boxes for shipment to NARA.**

15. **Assign lot / box number on MINISIS database for fiche.**

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16. **Double check printouts for transfer.**

17. **Enter date in NARA field of geobureau database.**

18. **Enter destroy date in field for those records destroyed.**

19. **Delete "destroyed" records from the database.**

```
/t lacotp94.streams
/l all
!job LACOTP94,scott.min;pri=es
!comment creates hitlist of terminated
!comment LACOutToPasture for FY94
!comment creates three hitfiles:
!comment ladc94, docrd items which must be retained
!comment lact94, items which may be retired
!comment lady94, items which may be destroyed.
!purge ladc94
!purge lact94
!purge lady94
!purge labb94
!purge lacd01
!purge lacd02
!purge lacd03
!purge laca
!purge lacb
!purge lacc
!purge lacd
!purge lace
!purge lacf
!purge lacg
!purge ladc94dd
!purge lact94dd
!purge lady94dd
!purge labb94dd
!purge lacd01dd
!purge lacd02dd
!purge lacd03dd
!purge lacadd
!purge lacbdd
!purge laccdd
!purge lacddd
!purge lacedd
!purge lacfdd
!purge lacgdd
!PURGE LAPROJ
!PURGE LAPROJDD
!q
lacrd
*setsdi on
```

```
41  using lackp1
42  save lacd01
43  $
44  *setsdi on
45  using lackp2
46  save lacd02
47  $
48  *setsdi on
49  using lackp3
50  save lacd03
51  $
52  =hitfile lacd01
53  or hitfile lacd02
54  or hitfile lacd03
55  save ladc94
56  $
57  default bcode
58  =11
59  or 12
60  or 13
61  or 14
62  or 15
63  or 16
64  or 17
65  or 18
66  or 19
67  or 26
68  or 27
69  or 30
70  or 31
71  or 35
72  or 52
73  or 81
74  or 82
75  or 83
76  or 84
77  or 85
78  or 86
79  or 87
80  or 88
81  or 89
82  save labb94
```

```
83   $
84   *setsdi on
85   using laca01
86   save laca
87   $
88   *setsdi on
89   using laca02
90   save lacb
91   $
92   *setsdi on
93   using laca03
94   save lacc
95   $
96   *setsdi on
97   using laca04
98   save lacd
99   $
100  *setsdi on
101  using laca05
102  save lace
103  $
104  *setsdi on
105  using laca06
106  save lacf
107  $
108  *setsdi on
109  using laca07
110  save lacg
111  $
112  =hitfile laca
113  or hitfile lacb
114  or hitfile lacc
115  or hitfile lacd
116  or hitfile lace
117  or hitfile lacf
118  or hitfile lacg
119  save laproj
120  and not hitfile ladc94
121  and hitfile labb94
122  save lact94
123  HITFILE LAPROJ AND NOT HITFILE LACT94
124  AND NOT HITFILE LADC94
```

```
125  AND NOT HITFILE LABB94
126  save lady94
127  exit
128  !PURGE LABB94
129  !PURGE LABB94DD
130  !eoj
```

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```
/t laxcxtp94.streams
/l all
!job lacxtp94,scott.min;pri=es
!comment indexes and prints search results
!comment from lacotp94 series.
!comment lacotp94 hitfile: ladc94 (retain)
!comment lacotp94 hitfile: lact94 (retire)
!comment lacotp94 hitfile: lacdy94 (destroy)
!purge lara94
!purge latc94
!purge layd94
!in
lacrd
hitfile=ladc94
output=lara94
key=cntry,length=40
field=cntry
end
key=a000,length=10
field=a000
end
key=a180,length=40
field=a180
end
key=a050,length=21
field=a050
end
***
!p
lacrd
lakeep94.pf
hitfile=lara94
end
!in
lacrd
hitfile=lact94
output=latc94
key=cntry,length=40
field=cntry
end
key=a000,length=10
field=a000
```

```
41  end
42  key=a180,length=40
43  field=a180
44  end
45  key=a050,length=21
46  field=a050
47  end
48  ***
49  !p
50  lacrd
51  lacret94.pf
52  hitfile=latc94
53  end
54  !in
55  lacrd
56  hitfile=lady94
57  output=layd94
58  key=cntry,length=40
59  field=cntry
60  end
61  key=a000,length=10
62  field=a000
63  end
64  key=a180,length=40
65  field=a180
66  end
67  key=a050,length=21
68  field=a050
69  end
70  ***
71  !p
72  lacrd
73  lacdes94.pf
74  hitfile=layd94
75  end
76  !submit lapull94
```

```
/t laxpull94.streams
/l all
!job lapull94,scott.min;pri=es
!comment indexes and prints pull lists by docid
!comment from lacotp94 series.
!comment lacotp94 hitfile: ladc94 (retain)
!comment lacotp94 hitfile: lact94 (retire)
!comment lacotp94 hitfile: lacdy94 (destroy)
!purge lapudc
!purge lapuct
!purge lapudy
!in
lacrd
hitfile=ladc94
output=lapudc
key=docid,length=14
field=docid
end
***
!p
lacrd
pulakp94.pf
hitfile=lapudc
end
!in
lacrd
hitfile=lact94
output=lapuct
key=docid,length=14
field=docid
end
***
!p
lacrd
pulart94.pf
hitfile=lapuct
end
!in
lacrd
hitfile=lady94
output=lapudy
key=docid,length=14
```

```
field=docid
end
***
!p
lacrd
puladt94.pf
hitfile=lapudy
end
!eoj
```

9.2.8.2 Destruction Procedures: Fiche

1. For the documents identified for destruction, retrieve the microfiche camera masters, direct silver duplicates, and any diazo duplicates maintained by the DISC. Also retrieve the microfiche camera masters and direct silver duplicates stored in the vault of the offsite storage vendor.

2. Remove all the fiche envelopes, separator slip sheets, and any other paper-based filing containers. Store this material in separate boxes with other micrographics supplies and reuse them when needed.

3. Pack them in boxes or other suitable container.

4. Forward these items with a copy of A.I.D. Form 520-3 with the information in Part II completed including - the number of fiche to be destroyed, their weight if necessary, the authorized destroyer of the microfiche (if any), and the associated document listing, to the company authorized to perform the destruction. Fiche may be destroyed by burning or grinding, but specific instructions will be supplied by the Agency's records management office (M/AS/ISS/RM).

   As recently as FY91, destruction instructions, approved and authorized by M/AS/ISS/RM, were merely to throw them in the trash, as the methods defined above were not considered cost effective.

5. Receive from the authorized destroyer of microfiche a copy of A.I.D. Form 520-3 with Part II completed and signed by the vendor, and a copy of the associated document listing. Forward a copy of the entire package to the Agency's records management office (M/AS/ISS/RM) and retain a copy in the permanent project file at the DISC.

6. Database maintenance: These records are to be deleted from the system. Write them to a backup tape, label the tape, and keep them for a reasonable period of time.

9.2.8.3 Destruction Procedures: APDMS Diazo Duplicate Fiche

1. Diazo duplicates are to be destroyed according to specific instructions and authorization from the Agency's records management office (M/AS/ISS/RM). Try to get this instruction in writing or via email. Verbal instructions (phone call) are not acceptable.

2. Disposal of diazo duplicate collections must also be authorized by the responsible administrator for the program within the geobureau office requesting disposal of the items.

9.2.8.4 Destruction Procedures: APDMS Hardcopy

Current methodology (March 1994) is to forward the hardcopy of all official Agency project documentation processed onto microfiche to the Washington National Records Center (WNRC). The DISC has no direct participation in the destruction of any hardcopy records. The exception is the Contracts Office (M/OP) whose hardcopy documents processed at the DISC are considered working copies (approved and authorized by M/AS/ISS/RM and M/OP) and can therefore be thrown in the trash directly.

Former Harcopy Destruction Procedures

Former destruction procedures are listed below but do not apply. They will be edited out of the next revision (after Mar 1994) of the operations manual.

1. Create and maintain a listing of APDMS hardcopy documents eligible for destruction under the APDMS retention schedule defined in A.I.D. Handbook 21, Part II, Chapter 6 and Appendix 6A as amended. Include this in the monthly management report to the Agency's records management office (M/AS/ISS/RM).

2. Provide a listing of the documents eligible for destruction upon request. Contact any offsite storage vendor(s) and have them pull the items from 'stock' and have them palletized to be picked up by the destruction vendor.

3. The Agency's records management office (M/AS/ISS/RM) will issue the appropriate instructions and paperwork to facilitate destruction. They will contact a vendor to do the actual pick-up and destruction of the materials.

4. Coordinate with the A.I.D. destruction vendor and offsite storage vendor to make sure items are ready for pick-up and the pick-up is scheduled.

5. Obtain a **signed** copy of the shipping order confirming that the destruction vendor picked up what they were supposed to. This can be confirmed with the offsite storage vendor as required.

6. APDMS hardcopy destruction usually occurs once a year, during the first quarter of the new fiscal year.

7. If procedures are such that no APDMS hardcopy documents are sent to an offsite storage facility administered through the DISC, the following procedures are followed:
   a. Accumulate one hundred (100) boxes of material at a minimum. This is approximately one truckload.
   b. When this volume has been accumulated, inform the Agency's records management office (M/AS/ISS/RM). They will contact A.I.D. transport personnel who will arrange for pickup of the material.
   c. The material will then be transferred to a Federal Records Center or equivalent. Actual destruction will occur as scheduled and administered by records center personnel.

9.2.9 Special projects

9.2.9.1 RIGMIS

Micrographics support for the regional inspector general's office terminated in FY91. No further activity has occurred.

9.2.9.2 Special requests for searches and printouts for the Agency's records management office (M/AS/ISS/RM) field trips

The APDMS program supports TDY's by the Agency's records management office (M/AS/ISS/RM) personnel. The purpose of TDY's is to train mission personnel on A.I.D. records management practices. We provide is based a listing of project documentation for the specific countries involved in the TDY. Procedures to generate the listing:

1. In QUERY, search the appropriate geobureau database using a combination of the country name and the first three digits of the project number (which is the geocode). The file is saved. For example, =A000 687@ (for Madagascar projects) OR cntry Madagascar. This would identify all Madagascar projects as well as any centrally-funded or regionally-funded projects applied to Madagascar.
2. In QUERY, search the Procurement Office database - PRJSRD (contracts) - and follow the same strategy as above. This will identify all contract documents.
3. In QUERY, search PRJDOC3 - a join of the PROJECTS and DOCUMENT databases - to identify all documents belonging to the "Institutional Memory".
4. For the geobureau and PRJSRD databases, index the hitfiles in the following sequence: A010 (country), A001 (main project number), A002 (subproject number), A030 (bibtype), A050 (TITL2 field to sort instrument numbers included in that field such as PIO/T numbers).
5. There is no need to index the PRJDOC3 hitfile. The project numbers are in sequential order.

This will provide a listing of the projects, an abstract if one exists, and any documentation on the DOCUMENT database related to that project. This is also a helpful acquisitions tool for identifying projects for which there is no documentation on DOCUMENT.

6. Print the files. For the geobureau files, use the geobureau print format equivalent to AFRB4PF.PF and PRJS4PF.PF.
7. For the PRJDOC3 join, you can "list offline,now".
8. Forward the printouts via interoffice mail to the requesting party.

9.2.9.3 Acquisitions Support

The APDMS databases are a primary source for design and evaluative documents that should be included in the DOCUMENT database. A stream job has been written to identify candidates that should be considered. The stream job is PRJMON.STREAMS. It is run monthly as part of the MICRSTAT.STREAMS management reporting job cluster. It is necessary to change the date each month to correspond to the reporting month. This is done in EDITOR.

```
:editor
/t PRJMON.STREAMS
/c "1992-07" to "1992-08" in all
k (for keep)
PRJMON.STREAMS already exists?  Replace (Y/N) y
e (exits editor)
```

Chapter 9.3
Micrographics Operations

Disaster Recovery

Elements of disaster recovery were included in the two previous sections concerning CORE and APDMS micrographics operations. A fully articulated disaster recovery plan has not been developed to date. Existing procedures allow for protection of fiche masters and datatapes with the geobureau databases on them.

9.3.1 CORE: Disaster Recovery

The only disaster recovery measures I am aware of at this time is the storage of most of the fiche masters in the secure, climate controlled environment of the offsite storage vendor.

Specific procedures need to be defined for recovery of the databases, and the computer with its associated access questions.

Access is regulated by locked facility, password requirements to the databases.

9.3.2 APDMS: Disaster Recovery

The only disaster recovery measures I am aware of at this time is the storage of most of the fiche masters in the secure, climate controlled environment of the offsite storage vendor.

Specific procedures need to be defined for recovery of the databases, and the computer with its associated access questions.

Access is regulated by locked facility, password requirements to the databases.

Chapter 9.4
Microgrpahics Operations

Training

Information regarding training and orientation procedures for DI personnel and contractors is provided in the training section of the DISC operations manual. Effective use and maximum beneift from the system requires a working understanding of MINISIS.

9.4.1 CORE Training and Orientation

Please refer to the training materials included in the appendix.

9.4.1.1	DISC Personnel
9.4.1.2	Geobureau - see training materials
9.4.1.3	DI Personnel

9.4.2 APDMS Training and Orientation

Please refer to the training materials included in the appendix.

9.4.2.1	DISC Personnel
9.4.2.2	Geobureau - see training materials
9.4.2.3	DI Personnel

Chapter 9.5
Microgrpahics Operations

Resources: Equipment and Supplies

Please refer to the equipment and supplies inventories along with the vendor listing in the appendix.

9.5.1 Equipment Inventory

An APDMS micrographics equiment installation inventory is attached as **Appendix D**.

9.5.2 Consumables Listing / Inventory Procedures
9.5.3 Purchase Requisition and Purchase Order Procedures
9.5.4 Vendor Directory / Professional Support
9.5.5 Professional Associations (AIIM / ARMA)

It is important to maintain contact with sources of information about developments in the micrographics and records and information management industries. This can be accomplished in several ways. Professional memberships in records and information management organizations is extremely important. It is highly desirable to maintain active membership with the Association for Image and Information Managers (AIIM) and the Association for Records Managers and Administrators (ARMA). They each hold monthly meetings with presentation on relevant industry topics.

Each of these organizations publishes a professional journal. For AIIM it is INFORM magazine, and for ARMA it is Records Management Quarterly. DATAPRO Reports on Document Imaging are a good source to keep abreast of technical and management developments as well as vendors in the image processing field. In addition, there are several important trade publications that should be reviewed on a regular basis. These include but are not limited to:

- IMC Journal (published by the International Information Management Congress)
- Office Systems
- The Office: Magazine of Information Systems and Management
- T.H.E. Journal: Technological Horizons in Education
- Office Technology Management
- Document Management: the magazine on conversion and automation of documents
- Information Week
- CIO: The magazine for information executives
- Disaster Recovery Journal

In addition, each organization has well-developed information resource centers available for use as required. AIIM's is located at their headquarters in Silver Spring, MD.

Chapter 9.6
Micrographics Operations

Personnel and Job Descriptions

9.6.1 Manager, Micrographics Operations

9.6.2 Document Analyst Coordinator

9.6.3 Document Analyst

9.6.4 Quality Control Specialist

9.6.5 Micrographics Technician - Bruning OP59 Operator

9.6.5.1 Microfiche Quality Control Technician

9.6.6 Document Preparation Clerk

Personnel and Job Descriptions

9.6.1 Manager, Micrographics Operations

Job Description: Manages the micrographics production operation.

1. Plans, organizes, and supervises all procedures and activities of the micrographics operation.
2. Manages the production of all microforms. Plans and schedules work to meet client requirements; is responsible for monitoring pricing and service costs.
3. Controls the outside procurement of micrographics services as required.
4. Responsible for the purchase and maintenance of all production equipment, including inventory in other departments and remote locations.
5. Responsible for supply inventories and the operation's office administration and personnel. Submits budgets requests for operation and procurement costs, including the ordering of major equipment items by identifying and documenting the requirement, preparing the economic justification and making the budget submissions.
6. Approves hiring, leave, and promotions; gives performance ratings, and recommends awards.
7. Assures that maximum service is obtained from all operations through efficient use of personnel and equipment.
8. Maintains a current knowledge of the latest microfilming equipment, supplies, and techniques.
9. Establishes and monitors quality control guidelines.
10. Meets with clients to discuss and determine their micrographics support needs as required.
11. Works with microform systems analysis to determine best method or microform for a particular project.
12. Works and meets with other managers in developing operational plans.
13. Develops training materials and gives orientation to clients as required.
14. Maintains retention schedule and retires or disposes of fiche based on the retention schedule as authorized by client.
15. Prepares monthly progress reports for the client and the project manager on work completed and in progress for Core and Geobureau filming.

Responsibility:

1. Responsible for the effective operation of the micrographics production center. Unusual or complex problems may be referred to higher management.
2. Responsible for controlling cost of production/labor, consumables, and equipment maintenance, as well as maximizing equipment utilization.
3. Recruits, trains, and motivates a qualified operations staff and identifies and develops those with potential for further promotion.

9.6.2 Document Analyst - On-site Coordinator

Job Description:
The on-site coordinator is responsible for distributing and coordinating the flow of work between client offices and off-site facilities, maintaining client contact, and reporting operational and technical problems to the Micrographics Manager. This person functions as a Document Analyst on a daily basis and must be capable and proficient in executing the duties of the Document Preparation Clerk as well.

The on-site coordinator also retrieves / references information for users as required. Maintains logs and indexes to provide status of information. Accumulates statistical data, performs special data gathering projects, acts as coordinator between records center and other records areas. Assists in training personnel and performs other office duties as required by supervisor.

Duties:
1. Classify project documents according to established guidelines.
2. Assign DOCID and control sequence numbers.
3. Maintain records of DOCID, batch and box numbers used, and documents being processed.
4. Extract and transcribe specified information to be used in the microfiche titles to logsheets.
5. Proofread and verify microfiche title information.
6. Coordinate pickup/delivery of microfiche and records with DISC personnel.
7. Sort and file microfiche for client's files.
8. Use MINISIS to locate and correct microfiche record information.
9. Distribute assigned work to other Document Analysts.
10. Monitor attendance of document analysts. Maintain personal activity reports on regular basis.
11. Assist in the training of document analysts.
12. Prepare other written or oral reports as required.
13. Perform tasks related to DISC operations as required.
14. Accumulate statistical data and/or perform special research, sourcing, verification and data gather projects on request.
15. Coordinate with geobureau communications and records personnel and other records areas to maintain standardized system procedures, practices, and policies.
16. Process and transfer records for inactive storage or destruction, according to retention schedule, as instructed.
17. Assist in orientation, training, and cross-training of new employes and other related organizational personnel.
18. Maintains security of records and files.
19. Provide suggestions and recommendations in establishing and revising records and information procedures.

9.6.3 Document Analyst

Function:

The Document Analyst are responsible for accurately formatting documents prior to data base entry. They batch and box documents for shipment to the AID/DISC facility for prepping and filming. In addition, they assist in processing incoming information, sorts and classifies material for integration into systems. Retrieves / references information for users as required. Maintains logs and indexes to provide status of information. May type and perform other clerical duties as assigned by supervisor.

Primary Responsibilities:

1. Review Project files.
2. Process each document by assigning document identification number, bibtype, and sequence number.
3. Prepare documents for shipment to AID/DISC by assigning batch and box numbers.
4. Classify and index records and information according to prepared schedules.
5. Organize and maintain files to conform to standards of the existing system.
4. Maintain records of documents being filmed by completing logsheets.
5. Enter microfiche header data onto logsheets.
6. Process microfiche when received after microfilming, including quality control, sorting, coding, filing and distribution.
7. Coordinate pickup and deliveries with DISC personnel.
8. Consult with Document Analyst Coordinator on problems involving production scheduling, client questions, and other issues.
9. Assist geobureau communications and records personnel in maintaining an accurate charge-out system as required.
10. Maintain personal activity reports on regular basis.
11. Access, compile, gather, and issue requested records and information as required. Compile specialized information and prepare reports.

9.6.4 Quality Control Specialist / Fiche Librarian

Description:

Assures the quality of processed microforms. This position is responsible for ensuring that accurate information is entered into the Geo Bureau data bases, header information on the fiche is correct, and that fiche is distributed correctly.

Primary responsibilities:

1. Reviews and verifies document index data. Check documents against printouts to verify data errors. Rejects fiche not meeting these criteria.
2. Resolves problems/discrepancies between documents and data base records.
3. Coordinates with offsite staff at State Dept/Rosslyn as required.
4. Answers questions for Document Analysts as required.
5. Generates tapes/printouts for documents ready for filming as necessary.
6. Assists in scheduling filmer pickups. Assists by acting as liaison with service bureau production departments.
7. Sorts, codes and files fiche by country for bureau distribution.
8. Generates / distributes reports of data bases for bureau use as required.
9. Identifies fiche requiring refilming and makes arrangements for them to be refilmed.
10. Provides other nontechnical assistance to the DISC as assigned.

9.6.5 Micrographics Technician / Bruning OP59 Operator

Job Description:

Performs operational functions to create duplicate micorforms and/or hard copy paper prints from original document, microfiche or computer output microforms. Performs standard quality control operations to ensure that all fiche meet technical specifications Inspects and packages finished product for shipment to customer.

Major Duties:

1. Operates Bruning OP55 diazo duplicator producing diazo duplicates from first generation masters or second generation silver masters; TDC ImageScan 3000 fiche-to-paper scanner; Xerox photocopier as necessary; assuring that all work is carried out according to established procedures.
2. Sets up equipment for appropriate input and output media.
3. On the basis of film density and contrast, adjusts light density and lens aperture and/or speed settings.
4. Makes exact adjustments and performs test to assure quality output.
5. Uses filters and halftone screens, as required, to make quality hard copy.
6. Adjusts ammonia flow (diazo) and development temperature settings.
7. Follows work order requirements and produces appropriate duplicates or hard copies in the specified quantities.
8. Collates microfiche on automatic collater-inserter.
9. Polishes drums, adds toner, cleans optical and other components, and performs other preventive and minor maintenance on equipment.
10. Perform minimal monthly maintenance on the Bruning OP59 and monitor the performance of the other quality control equipment(microfiche cutter, microscope, densitometer, microfiche reader)
11. Maintains and updates production and supply consumption records.
12. Meets turnaround schedules and quality standards.
13. Must be able to run all production used in duplicating, collating, and preparing production for final delivery.
14. Assures quality of own work, and checks quality of original film produced prior to duplication.
15. Performs routine maintenance functions, or makes arrangements to have machine serviced by authorized service representative, such as cleaning platens, changing ammonia and absorber, changing lamps, and general equipment upkeep.
16. Responsible for preparing job for shipping or delivery and for completing paperwork for billing as necessary.
17. Provides other nontechnical assistence to DISC as required.

9.6.5.1 Microfiche Quality Assurance Technician
(Performed by Micrographics Technician)

Description: Assures the quality of processed microforms.

Major Duties:

1. Inspects and tests processed microforms for legibility, density, completeness, alignment reduction, residual thiosulfate, and other items that assure a quality output product.
2. Visually inspects microforms for defects by using a light table, optical reticle, and microform reader. Notes inspection results in inspection log.
2. Uses a microscope, densitometer, light table, and microform reader.
3. Determines the cause of problems in processes that control product quality, and recommends or initiates changes when necessary.
4. Resolves quality problems for in-house personnel or client.
5. Loads microfilm into appropriate containers as specified.
6. Performs routine maintenance on equipment as specified by manufacturers and installation standards.
7. Request refilming of documents which do not meet production standards

Responsibilities:

1. Responsible for the quality and consistency of duplicates and hard copies.
2. Refers complex or unusual problems to the supervisor.

9.6.6 Document Preparation Clerk

Job Description:

1. Assists all operations in a nontechnical capacity.
2. Prepares documents and materials for microfilming.

Primary responsibilities:

1. Receives, logs, and distributes incoming production jobs.
2. Assists with preparation of documents for microfilming by removing holding devices, repairing tears and wrinkles, and placing documents in filming order after inserting any required targets.
3. Performs data entry for header information.
4. Trims hard copy into proper page sizes.
5. Provides other nontechnical assistence to DISC as required.
6. Logs in fiche header information (date, batch, box number) in batch control logbook.
7. Removes document bindings.
8. Resolves discrepancies between database records and documents.
9. Generates printouts of fiche headers for data verification.
10. Data enters microfiche header information from original log.
11. Prepares gridsheets and resolution targets for documents prior to filming.
12. Works with quality control specialist to resolve problems
13. Notifies supervisor of problems with processing documents
14. Assembles documents into batches, accurately collating material and checking for completeness, print quality, duplicates, etc.
15. Completes log sheet and verifies document index data to be used for fiche headers corresponds to data on actual document and file folder.

Chapter 9.7
Micrographics Operations

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9.7 Appendices

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DISC Operations Manual

Chapter 9 - Records Management

Section 2 - Records Image Management System (RIMS)

Section 9.2 - Records Image Management System (RIMS)

This section covers all requirements for the **Records Image Management System (RIMS)** imaging operations for conversion of official Agency hardcopy project documents to digital image format. RIMS is utilized by participating geobureaus and administered by M/AS/ISS/RM. RIMS funding began in late FY93.

RIMS imaging activity is a replacement for APDMS micrographics activity terminated effective 1-Jan-93, except under Special Project arrangements. The key purposes of RIMS are to improve and standardize project documentation practices by creating a central repository for the Agency's official project files while ennabling efficient, multiple access to project management information; to improve control; and to maximize the usefulness of project records.

M/AS/ISS/RM coordinates the records management activities between the geographic bureaus offices and the DISC to effect the conversion, storage, and distribution of project documents on digital images. The bureaus participating in the RIMS or APDMS records management program include or have included the following:

Bureau for Africa
- Africa Regional (ARA)

Bureau for Asia
Bureau for Asia and the Near East
Bureau for Latin America and the Caribbean
Bureau for the Near East
Bureau for Global Programs
- (formerly the Bureau for Research and Development) (formerly the Bureau for Science and Technology)

Office of Procurement (Contracts), Bureau for Management
Office of Loan Administration, Bureau for Finance & Administration

Each A.I.D./W bureau or office is responsible for performing the records management fucntion including files organization, labelling, document collection and sorting, and the operation and maintenance of their own centralized files and RIMS work station.

Each RIMS CD-ROM contains the complete index for any document processed onto microfiche or CD-ROM as of the date of the CD. The index is comprised of key fields which aid in identifying and retriving official project document. Additional CD-ROM's, with an updated database (index), are

produced as frequently as a sufficient quantity of documents (500) accumulate. File growth is estimated to be ten to twenty-five percent per year.

9.2.1 Types of Documents to be Scanned

The Development Information Services Clearinghouse converts official Agency project documents into the 'Records Imaging Management System' (RIMS) by converting them from paper to digital image format. The documents are selected according to specific criteria denoting that a document is the official, signed, approved, authorized, final and corresponds to specific Agency project activity. They are classified according to the following basic bibliographic or document categorization plan, customized or altered to fit the needs and requirements of the specifc bureau as necessary:

10 <u>Project Development</u>
11 Feasibility Study
12 Market Survey
13 Pre-PID Document, Misc
14 Market Study
15 Proposal
16 Research Proposal
17 Assessment Surveys
18 Assessment & Social Marketing
19 Concept Paper

20 <u>Core Project Documents</u>
21 PID
22 PID Revision
23 PID Approval Document
24 PRP (Pre 1978 Projects)
25 PRP Revision
26 Project Paper / PAAD
27 PP/PAAD Amendment
28 Project Authorization
29 Project Authorization Amendment
30 Grant Agreement
31 Grant Agreement Amendment
32 Loan Agreement
33 Loan Agreement Amendment
34 Waiver, General
35 Core Official Correspondance
36 Loan and Grant Agreements
37 Miscellaneous Agreements

40 <u>Correspondance</u>
41 Cable, Incoming

42 Cable, Outgoing
43 Correspondance, General
44 Financing Request
45 Cables (Incoming-Outgoing Combined)

50 Conditions Precedent to Disbursement
51 Condition, Pre-Disbursement
52 Implementation Letter

60 Disbursing Authorization
61 PIO/T
62 PIO/C
63 PIO/P
64 Letter of Commitment
65 Procurement Authorization / Purchase Requisition
66 DRA (Direct Reimbursement Approval)
67 Excess Property Letter / Purchase Order
68 Procurement Plan

70 Contracts / Contract Amendments
71 Contract
72 Contract Amendment
73 IFB / RFP
74 Response to Invitation
75 Awarded Invitation to Bid
76 Work Order
77 Task Order
78 Delivery Order
79 PASA / RSSA
99 Contract Closeout

80 Reports
81 Report, Research
82 Report, Progress
83 Report, Evaluation
84 Report, Audit
85 Report, Final
86 Report, Implementation
87 Report, Trip
88 Report, End of Tour
89 Report, Miscellaneous / Not Elsewhere Classified

A more comprehensive listing of the documents which may comprise these categories is found in **Appendix A** of this section of the Operations Manual.

9.2.2 Workflow

Illustrative Image Production Workflow

1. Quantify estimated volumes to be converted.
2. Identify the types of documents to be converted and their location.
3. Schedule conversion or update.
4. Accumulate and format files for processing.
5. Batch formatted files. Separate individual documents and check to make sure they are complete, signed, official originals.
6. Enter (catalog/index) bibliographic data into database.
7. Prep the documents and get the page count.
8. Enter the page count into the database.
9. QC-1: Double-check bibliographic data in the database with that of the source document. Validate contents of key fields. Correct any errors.
10. Image capture: scan the documents.
11. QC-2: Image validation and acceptability. If rejected, rescan.
12. Accumulate images on magnetic storage.

13. Prep data in MINISIS.
14. Verify database contents. Look for errors, exceptions and unusual entries. Make corrections and modifications as required.
15. Download bureau database from MINISIS.
16. Prep data and place in ROMWARE formats.
17. Update front-end.
18. Create master "image" in preparation of cutting one-off CD-ROM.
19. Master the image to CD-ROM.
20. Verify images and database have been mastered successfully.
21. Verify that frontend is working, that images display and print accurately.
22. Make at least four (4) copies of the RIMS CD-ROM.
23. Distribute RIMS CD's to relevant parties (bureau, RM, DISC).
24. Backup "image" to LAN backup tape.
25. Delete image files from the magnetic work area.
26. Perform RIMS / DIS acquisitions.
27. Complete production reports.
28. Transfer hardcopy batched documents to onsite interim storage.
29. Transfer accumulated hardcopy batched documents to offsite long-term storage (WNRC).

9.2.3 Document Analysis: Batching

Document preparation procedures for geobureau work begin with Document Analysts "batching" the documents for entry into the processing system after they have been properly "formatted" by bureau C&R personnel.

DISC staff, in collaboration with bureau C&R files custodians, refer to a project title list for the sequence of documents to be removed from the file cabinets located within the Communications and Records (C&R) sections of the participating bureau or office. The following are the procedures for preparing a batch:

1. Remove one (1) project at a time from the geobureau Communications & Records units filing cabinets to avoid the possibility of misplacing or misfiling the materials.

2. Set up a box to receive the documents. Attach a colored label unique to that bureau to the outside of the box and indicate the batch number corresponding to the year and month during which the box is being prepared, and the box sequence within the batch ranging in order from 01 through 99. For example, a box prepared during March of 1994 would have the batch number '9403'. The box number would be whichever number is next in sequence, for example '19'. This batch and box number would appear on the box label as '9403-19.'

3. Prepare a file folder for each unique document if one has not already been prepared. Each file folder should have been formatted by the C&R person within the bureau or office. The file folder should have, as a minimum, the following identification on the folder tab: project number, country, project name, document type, document title, instrument type, instrument number, and contractor name.

4. Each file folder is to contain one document, or one set of documents of the same type. For instance, there may be many cables related to the same project within the same file folder. These are to be organized chronologically by date and submitted together within the same file folder. Implementation letters also follow this rule.

5. Affix a DISC-generated label to the outside of the file folder indicating the Document Identification Number, otherwise known as the DOCID, and a space for the sequence number - the sequence in which it will be placed within the box - to be completed as the box is batched. For each unique document within a folder, affix a DOCID label to the outside of the folder so the scanning operator knows there are multiple documents within. Geobureau DOCID's all start with the two character prefix "PD" which stands for Project Document. Each geobureau has it's own unique DOCID series. They are as follows:

PD-B@	Africa
PD-J@	Africa Regional
PD-C@, G@, H@	Asia, Near East, Europe
PD-K@	LAC
PD-Q@	Loans
PD-F@	Contracts
PD-W@	Research and Development
PD-P@	Private Enterprise (test)

The DOCID labels with accession numbers are computer-generated and produced at the DISC by the Systems Development Group (SDG).

6. Identify the bibtype for each document in the project file using the bibtype list for that bureau or office (e.g. Project Development, Core Document, Correspondence, Conditions Precedent to Disbursement / Implementation Letters, Disbursing Authorization, Contracts / Contract Amendments, Reports). It is preferable for the docments to be sorted numerically according to the bibtype structure.

7. Identify the instrument number for the document as appropriate. This means specifically, but is not limited to, the grant number, loan number, contract number, PIO number, or cable number.

8. Identify the document date(s). Document dates are located (using the last authorizing signature date for documents when applicable and the most significant date available in all other cases). For files with more than one (1) document (e.g., PIO/T's, cables, etc.) locate the earliest dated and most recent document in the file and record both dates. The oldest date is known as the "Begin Date", and the most recent is the "End Date". The logsheet should be filled out accordingly.

9. Locate the Contractor name and A.I.D. contract number when applicable.

10. Remove known duplicate documents and discard.

11. Remove unnecessary pages, such as duplicate and other unrelated material, and forward to appropriate Project Officer through the geobureau C&R representative.

12. Return the documents to the appropriate record storage box with a label attached, indicating the box and batch numbers,

13. Close the box and make arrangements to send it to the DISC via the DISC courier.

9.2.4 Document Preparation

Preparing a document for scanning ensures that a document is physically acceptable for imaging and organized so that the page sequence of the document is obvious to the scanner operator.

Supplies required: staple remover, scissors, tape dispenser with tape, pencils, erasers, "Best Available Document" stamp, "Page Missing" stamp, "Intentionally Left Blank" stamp, imaging targets, grid sheets.

1. Log-in boxes received at the DISC for processing. There is a batch control logbook on top of the filing unit used for temporary storage for boxes received. In the logbook, indicate the batch and box number on the logsheet for the originating bureau.

2. Indicate in the batch control log the initials of the person who is going to prep the box.
3. Indicate in the batch control log the date that prepping begins on the box.
4. Create a database record using the source document for field information. Enter field information into the corresponding MINISIS database using the defined procedures and protocols for that specific bureau. See **Appendix B** for detailed procedures for each bureau.
5. Generate a proof listing after information for the complete box has been data entered.
6. Verify and compare the database information on the proof list against the logsheet to confirm its accuracy. Note errors and determine their nature and origin. Verify the information from the printout to that of the original document in the file folder. If there are still questions, contact the senior document analyst or ask the imaging manager for assistance. Make the necessary corrections using the update mode in MINISIS.

9.2.3.1 Physical Preparation

1. Remove all staples and paper clips.
2. Repair any tears in a document using transparent tape.
3. Enhance illegible pages using the photocopier or, if that fails, attempt to find a new copy. Contact the document analyst for assistance.
4. Print that is smaller than 4 points will probably not reproduce acceptably. Enlarge it on the photocopier when possible so long as information is not lost by making the page bigger than standard 8-1/2 x 11". This is particularly important for worksheets and statistical tables.
5. Trim or reduce oversize pages (larger than 8 1/2 X 11). If a page is reduced, the resulting page should not have characters smaller than 4 points keeping originals with folder but marked "Do Not Film". All bindings must be removed.
6. Trim off the holes of GBC bound documents. Any pages or bindings removed from the original document should be inserted at the end of the copy to be scanned and marked "do not scan".
7. Stamp the document "BEST AVAILABLE DOCUMENT" before being scanned if it is not of good quality, but is the only copy available for imaging.
8. Substitute a "MISSING PAGE ___" target if pages are missing and a new copy is not readily available.
9. Use the "INTENTIONALLY LEFT BLANK" stamp or the "PREVIOUS PAGE BLANK" stamp on the following page if the pagination sequence includes blank pages.
10. Use only one target if several pages in a sequence are missing.
11. Return it to the supervisor if too much of a document is missing or illegible (i.e. poor photocopy of original - broken print, black background). An effort should be made to find a new copy of the document.
12. Using a pencil, number the pages of the document sequentially beginning with one (1), from the first physical page through the last physical page. The page number is to be pencilled in the lower right hand corner of every page. The last page number is the "frame" (page) count which is to be entered into the MINISIS database upon completion of the box. This number should be written on the proof list next to the corresponding DOCID.

9. Update the batch control log to indicate when prepping was completed, when the box was scanned, and when it was returned.

9.2.5 Image Capture: Scanning

Boxes that have been batched, prepped, and verified are ready for scanning. They are stacked in a "queue" from which they can be obtained and taken to the scanner. The scanner operator creates a directory on the hard disk of the workstation attached to the scanner. The directory is the name of the batch and box to be scanned. The scanner operator starts the imaging software currently in use, LaserFiche as of 3/94, creates a file name which is the DOCID of the document to be scanned. Scans the document. Closes the file. Does all documents in one box. Renames the documents from the proprietary filename of laserfiche to the docid. exports the image files to i: drive where they can be staged for inclusion in the next issue of the cd for the bureau being scanned.

actual cd "mastering" procedures are in the systems group section of the procedures manual at this time.

9.2.6 Data Preparation and Database Download

The following procedures "prep" and download the data for the index records which will be mastered to the RIMS CD-ROM. (Source: JHarold file apdmspro.doc) The data originates in MINISIS and is downloaded to the LAN where it is put into ROMWARE databases and indexes. (HP=HP3000, PC=PC connected to CD Publisher <Vectra>)

1. Run appropriate "cdchk" job below to verify CNTRY field and BNAME/BCODE field entries.

   afrcdchk
   asicdchk
   laccdchk
   prjcdchk
   sntcdchk

2. Run "batch".streams to be sure batch/box numbers are accurate. Make sure batch/box/sequence number are all ok. Look for odd document counts and other anomalies.

3. Determine which source batch(es) and box(es) will have images on the RIMS CD. The records manager will provide this list.

4. Create hitfile using batch(es) (field=batch) and box(es) (field=box) (MINISIS). For example,

   default batch
   =9204 and box YY (i.e. YY=44)
   1 and box YX (i.e. YX=45)

1 and box YZ (i.e. YZ=46)
save hitfile

5. Using hitfile, add A600=y and A610=issue number of RIMS CD (MINISIS).

```
:UPD
?GLOBAL,HITFILE=LACNO1
add A600
y
add A610
1
Please enter function to select record
exit
```

6. Modify "hits" job to create correct database hitfile use in "sort" job (MINISIS). Refer to Appendix for "hits" jobs.

```
:editor
t lachits.streams          < create correct hitfile to
                                 exclude records that
                                 haven't been scanned or
                                 fiched>
```

Refiew the stream jobs for accuracy but there should be no errors. (F burocd.pf, print format for CD with the right order of fields). May need verification steps to make sure hitfiles are the same; page counts the same.

7. Run the following stream jobs for the appropriate database (MINISIS).

afrbhits	afrbsort	afrbprnt	
asiahits	asiasort	asiaprnt	
lachits	lacsort	lacprnt	
prjshits	prjssort	prjsprnt	
snthits	sntsort	sntprnt	

8. Run CDFMTTAPD.streams (HP). This formats the data for loading onto tape. Change the filenames in the job to correspond to the MINISIS database you're working with. The job inserts padded blank spaces to make all record lengths uniform.
   - verify by doing a LISTF FILENAME@,1. This should show the filename and filesize. They should be the same.
   - Strips out control characters too

9. Run COPYAPDM.streams using APDMS 9-track transfer tapes (HP).
   a. Insert tape #1 into HP tape drive

b. Edit COPYADM.streams
c. Change database source to current geobureau
d. Submit job
e. Message appears - "Copying SAMPLE2" file to tape. (Number of tapes needed depends on the size of the database.)
f. Check stdlst of copy to tape job for verification.

10. Run ANSIT2D (CD Publisher)
- Use APDMS 9-track transfer tapes
- Use command line of "ansit2d c:\romware\<db subdirectory name>/pn" whe "pn" tells ANSIT2D to prompt for the name of the output file (use db name plus ".txt")

a. Load tape number one (1) into CD-Publisher.
b. Make sure density is set for 6250 instead of 1600

Online
c. c:
d. cd romware\LAC\DATA
e: c:ANSIT2D c:\romware\lac\data / pn
f. Change name to LACRD.T
g. If more than one tape is needed, it'll ask you for stuff

11. Run COMPRESS.exe on ".txt" data which creates output of "COMPRESS.txt" (PC)
- c:\romware\geobureau\data\compress

12. Run CDFMRAT5.exe on "COMPRESS.txt" data which creates output of "FORMATED.txt" (PC).

13. Load and index "FORMATTED.txt" data in ROMWARE (PC) using:

afrbload.bat	(and afrbload.cmd)
asiaload.bat	(and asiaload.cmd)
lacload.bat	(and lacload.cmd)
prjsload.bat	(and prjsload.cmd)
sntload.bat	(and sntload.cmd)

Make sure ".f" file name is the same in the corresponding ".cmd" file.

14. Verify the data by looking at the data in ROMWARE (PC). Check items like bibname, contractor names, country names (geo/program name).

15. Read xxxxLOAD.log and xxxxINDX.log to verify there were no loading or indexing errors. Type geoload.log, geoindex.log.

16. Inspect each of the INDEXES in ROMWARE for data errors or inconsistencies and report to senior document analyst (Ivy) who will make corrections.

17. Edit WELC.dat to display correct issue no. (in SETUP directory, PC).

18. Edit file DISC.no to display correct issue no. (in SETUP directory, PC).

19. Copy all files into SETUP subdirectory and remove unneeded ".bat" and ".com" files.

20. Verify the following files are in SETUP subdirectory:

<front-end.bat>	<front-end.exe>	CONFIG.exe
ROMWARE.cfg	RW20.exe	RWSTERM.exe
RWSTSR.exe	SABIR1.txt	SCROLTXT.exe
TEST.bat	Disc.no	

21. Copy all files from SETUP subdirectory to appropriate subdirecoty on network 'image mastering" staging location - I:\subdirectory (e.g. I:\con_cd_8).

22. Verify that the following ROMWARE data files are present. ROWMARE file extensions:

xxxx.EDB	Table Of Contents
xxxx.EDC	db dictionary
xxxx.EDH	romware help
xxxx.EDI	index related
xxxx.EDS	record pointers
xxxx.EDT	loaded data
xxxx.EDX	index related
xxxx.LTF	load format

The RIMS ROMWARE database index names are:

Contract Number
Contractor
Item Type
Date Signed
Project Number
Program Area
AID Geo Code
DOCID

23. Verify integrity of front-end and data by establishing and using TEST.bat. (Second option is to MAP ROOT IMAGE:<name of directory for RIMS issue in question>. This will take you to I: root from which you can type the name of the bureau and be launched into the RIMS front-end.)

Example: I:\map root image:con_cd_8 <return>
I:
I:contract
(front end will start)

9.2.7 Technical Specifications and Standards

x. equipment configuration

x. specifications for Digital images

to be identified and listed. There are no formal, contract technical specifications define by AID for contractor compliance.

9.2.7.x Illustrative Federal and Industry Standards (as amended)

No formal standards by agency in place at this time.

1. Materials
2. Product Quality

9.2.8 Quality Control

While these levels are ranges under which acceptable film should fall, film will not be accepted if the contrast between information and background is not such taht clear, legible copies can be made and the condition is not due to the quality of the material filmed. If the original camara master film does not fall within the acceptable density range, the duplicates will not be "printed up" or "printed down" in order to achieve a print quality which technically falls within the acceptable ranges.

9.2.8.x Rescanning

A document or page will be rescanned if work does not meet stated standards when product quality is a result of poor workmanship and imaging techniques, inferior or malfunctioning equipment and/or supplies, or any other factor directly related to the quality or condition of the original document.

9.2.9 Storage

The original, source CD-ROM "image" is backed up to magnetic tape using the LAN backup/archive system. CD-ROM copies are accumulated at the DISC, after which they are transferred periodically to the climate controlled, secure and fireproof offsite storage facility of our storage vendor. This facility meets the contractual technical specifications and ANSI standards regarding archival offsite storage and disaster recovery. Transfer of digital images masters to the offsite storage vendor occurs roughly twice a year.

The working collection of CD-ROM's are kept in DOCID order at the DISC in the imaging operations area.

Geobureau central file RIMS CD-ROM collections should be stored with the APDMS microfiche collection. An workstation with a CD-ROM should be available to use the index on the CD-ROM as well as display or print images therein.

RIMS hardcopy documents are accumulated at the DISC and forwarded to the Washington National Records Center (WNRC). Retention and disposition actions are executed by A.I.D. staff.

Subject: Transferring RIMS Hardcopy Project Documents to Federal Records Center

Needed: 50 archival boxes on top of fiche file cabinets in Elsie's area.

The purpose of this exercise is to get rid of all the paper copies of project documents that have been scanned and which can now be found on a RIMS CD; or documents that have been microfilmed.

All bureaus for which there are documents at the DISC are to be included - with the significant exception of the Contracts office which has different disposition instructions. Boxes from Africa, Asia, Near East, LAC, and the Energy and Education Offices from Global Program bureau are to be used.

Read the attached instructions from the records management office entitled "**AID Procedure for All Imaged Documents to be Transferred to Washington National Federal Records Center**". If you can make sense of them, congratulations. If you can't, that's okay. My take on it is something along the following procedures:

1. Locate the archive boxes in Elsie's area.

2. Do not make any permanent marks on the archival boxes until the end when you absolutely know what goes where. Use stick'ems or staple a piece of paper with tracking information.

3. Prepare a master list of all eligible bureau boxes by bureau, batch and box number.

4. Prepare a preliminary worksheet that you can mark up by hand. The left hand column should be the master list of bureau, batch and box number. The right hand column will indicate the number of the archive box we will be sending to AID/FRC. This is an internal tracking / control method so we know what has gone into where. We will use it later.

5. The archive boxes are supposed to be packed tightly. But not so tightly that the box bends or bulges. The archive boxes may or may not hold as much as is contained in one of the APDMS batch boxes. It doesn't matter as long as the archive boxes are **full**. Refer to Section D. Packing Boxes on the enclosed instruction sheet.

6. Pack one bureau at a time until done. If the last batch/box for a bureau does not completely fill an archive box, fill it up from the first box from the next bureau and so on.

7. Note on your logsheet what (bureau-batch-box) goes into what archive box.

8. Run a stream job to print out a "shelf list" to identify the contents of the archive box.

9. Generating this list will have to take into account the fact that some documents have been removed for addition to DOCRD. I believe these can be identified by running a stream job against DOCRD to create a hitfile of all bureau documents added since the bureau batches were processed through RIMS/APDMS. These DOCID's can then be saved and printed to a MINISIS file to be used later as a USING file.

   For example, SNT docid's start with PDW. In DOCRD,

```
reflect off
=DOCID PDW@
and cdate > 199308@
save rndhit
exit
:file outfl=rndxxx;dev=disc;nocctl
!p
sntrd
xxxxx.pf (print format printing only DOCID)
hitfile=rndhit
end
exit
!eoj
```

10. Query the bureau database and create a hitfile for all documents created for the batches and boxes at the DISC. Save the hitfile. (hitfile1)

11. Run the using file as a query in the relevant bureau database and save the subsequent hitfile. (hitfile2)

12. =hitfile1 and not hitfile2 will give you the accurate shelf list.

13. Compare the shelf list to actual box contents.

14. Do something like that for all the relevant bureaus.

15. A new print format will have to be created to be used as the shelf list. The fields on the shelf list should include project number, project title, subactivity name, bibname, contract number, contractor, begin-end year at a minimum. The printed list should identify the documents in

sequence order as they are packed in the archive box. Sequence number does not have to be printed, but the order of the documents has to match their physical location in the box.

16. Then we'll see where we're at and can go about completing whatever forms are necessary as well as assigning lot and box numbers to the archive boxes.

A.I.D. PROCEDURE FOR ALL IMAGED DOCUMENTS TO BE TRANSFERRED TO THE WASHINGTON NATIONAL FEDERAL RECORDS CENTER

(A) DOCUMENTS HANDLING PROCEDURE

Before scanning, the documents are to be prepped and placed into boxes in the order of scanning. (See procedures below on how to properly pack them). This is necesary so we can easily locate the documents. The documents will be scanned onto CD-ROM diskettes.

(B) VERIFICATION OF IMAGES

The imaging on CD-ROM must be verified on a regular basis, this is called quality control. If the images are not clear or readable, they must be re-scanned. Upon completion of quality control, the images will be permanently stored on CD-ROM diskettes, they can not be changed or re-written once this is done.

(B) AUTHORIZED APPROVAL

Prepare a memorandum to the person responsible for getting approval before proceeding with preparation of shipping the boxes to WNRC.

(C) PREPARING SHELF LIST

a. A shelf list is prepared by filling out an SF-135 in triplicate. SF-135-A is a continuation sheet, but should be treated as a first page. SF 135 constitutes the first page of the two-part form and is filled out by the AID/W Depository and sent to WNRC. See below on completing the shelf list:

(1) Leave columns (a) through (d) blank.

(2) For columns (e), Agency box Numbers, give the simple numerical order of the boxes.

(3) Under Series Description (f) list the folder, using the titles and dates on the folder labels.

(4) Leave column (g) blank.

(5) Under Disposal Authority (h) cite HB21 (HB21 and the appropriate disposition item number from the Disposition Schedule (App. 6A-6C). Check the Disposition Schedule for the A GRS citation, under column headed Authorized Disposition. If one is listed, enter that citation under the above-mentioned Item number. This Citation critical for the use of WNRC.

(6) Under Disposal Date (i), compute from the Files Plan or the Schedule the destruction date and list it. If there is more than one retention date for the files, compute the destruction date using the latest retention date, WNRC will use this date as its guide of destruction of the files.

(7) Leave the remaining columns on the form blank.

USE THIS PROCEDURE IF SF-135 IS UNAVAILABLE

Prepare a shelf list on plain paper in the following manner.

(1) On the first few lines, give a brief description of the files being retired, their inclusive dates, and the highest security classification.

(2) List the boxes in sequence, beginning with box number one.

(3) List the titles, fiscal year or date span (earliest to latest date) of each folder label in the order that the folders are arranged in the box. If the information does not appear on a label. Check inside the folder and add the information thta will be the label. (Note: if all the folder labels in a file group are from the same date span, show the date span in the group heading, not for each item.)

(4) In the Disposal Authority column, cite HB21 and the item number from the office Files Plan or the Records Disposition Schedule. Compute Disposition Date and list GRS citation as described in above (5).

(D) PACKING BOXES

The only boxes the Washington National Records Center will accept are the Standard size Record boxes. Boxes must be filled to capacity.

The procedures are as follows:

Use standard one-piece cardboard records storage and shipping boxes, 14 3/4" X 12" X 9 1/2". Boxes will not be repacked.

(1) Assign boxes a lot number. All files withing a given lot must have the same date and mujst not contain a mix of classified and non-classified documents.

(2) Pack records into the folder, in the same order as they were scanned onto CD-ROM. Face all folder labels in the same direction. All letter-sized folders must face the front of the box (the end

with the label) and all legal-sized folders must face to the left (when you look at the box from the front).

(3) Pack boxes so that the folders can be taken out easily. Do not overpack them or strain the seams. Stuff newspapers into partially filled boxes to prevent the folders from shifting.

(4) Wrap oversized documents such as accounting ledgers, rolled maps, or engineering drawings, with heavy kraft paper.

(E) Labeling Boxes

Place all Lot Numbers are the lower left-hand corner of the front of the box. Mark all sequence numbers in the upper right-hand corner of the front of the box. (The front of the box is any short end dimension that has no staples in it or writing).

<u>The procedures are as follow:</u>

(1) Do not attach labels to boxes. The glue on labels dries out over time and labels fall off.

(2) Mark each box on the front end. Include on it, each box number and lot number. The lot number is obtained by e-mailing or calling the AID record depository, and is placed on the boxes as well as on Form 5-45. No other information is needed on the box labels since the lot number serves as the link between the boxes and the identifying information on Form 5-45.

(F) Pick-up Arrangements

Submit a copy of A.I.D. Form 5-7 Requisition to Records Management Branch to arrange the transfer of nor more than **50 boxes** to the Washington National Records Center.

Type and forward three copies of both Form 135's (Records Transmittal and Receipt) and Form 135-A Shelf list, to the Records Management Branch in room B930 NS. Records Management will coordinate with the offices and the Washington National Records center to pick-up Records boxes from the loading dock.

Complete A.I.D. Form 5-45, Notification of Retirement of Inactive Files, in triplicate, for each lot. The lot number on the form is obtained by calling or e-mail to the Vault Supervisor in Records Management Branch, and place it on the box label as well. Also, the WNRC accession number block should be left blank as the Vault Supervisor will assign it a number when he receives the form. Send the two copies of A.I.D. Form 5-45 to the A.I.D. Records Depository in Room B-531, NS. Form 5-45 will be held in Vault, 531B.

Close the boxes by interfolding the top of the boxes. Do not tape them.

9.2.10 Distribution of RIMS CD's to the Bureaus

New CD's are sent to the originating geobureu as processing is completed. One (1) RIMS CD-ROM copy is created and distributed to appropriate bureau's (i.e., Africa, Asia, Near East, LAC, Contracts, etc.). One (1) goes to M/AS/ISS/RM. Two (2) are maintained at the DISC.

9.2.xx CD-ROM Duplication

9.2.11 RIMS/DIS Acquisitions Procedures

1. The ***RIMS Acquisitions Liaison Coordinator (RIMSALC)*** will get an acquisitions print out for each box when it has been completed being prepped. This report is automatically generated with the RIMS proof list for the box.

2. The acquisitions print out identifies documents of the following RIMS bibliographic types - PP/PAAD, PP/PAAD Amendment, Project Authorization, Grant, Grant Amendment, Action Memo, Research Report, Evaluation Report, Audit Report, Final Report, and Misc/NEC Reports. Contracts would be searched in the Contracts database.

3. The ***RIMSALC*** will review the print out and check the physical documents to determine selection for the DIS. The physical documents will remain in the batch/box until it is scanned.

4. The ***RIMSALC*** will tag the documents for **scanner operator (SO)**. The tag will consist of a list of the needed DOCID's written on the batch label on the outside of the box itself.

5. The **SO** will pull the identified documents and scan them first before doing the rest of the box.

6. The **SO** will take the identified/needed documents to the ***RIMSALC*** after they have been scanned.

7. The DOCID's listed on the box will be double-checked against the ***RIMSALC***s acquisition list generated with the RIMS proof list.

8. The ***RIMSALC*** will prepare a ***RIMS-DIS Linkage Transmittal sheet (RLTS)*** clearly identifying the document as originating in the RIMS system.

9. Said ***RLTS*** will be attached to the document.

10. The ***RIMSALC*** will then mosey on over to the cataloging shelves where those puppies will be placed on the proper shelf for further DIS processing.

11. Return to step one and repeat until no further documents are available, or the end of time, which ever comes first.

9.2.12 Management Controls

Geobureau monthly statistics/status reports are generated for A.I.D. describing imaging operations, activities, and production volumes during the month just completed and the overall status of the project by scheduled activities. A sample monthly report is included as **Appendix X.**

Procedures for monthly progress report for M/AS/ISS/RM

A: During the reporting month data should be compiled utilizing the outline below.

1. Summary
2. Bureau Imaging Activity
   a. Africa Bureau
   b. ANE/Asia Bureau
   c. Bureau for Europe and Newly Independent States
   d. ANE/Near East Bureau
   e. Latin America/Caribbean Bureau
   f. Bureau for Management (Procurement Office)
   g. Bureau for Personnel & Finance (Loans)
   h. Bureau for Global Programs
3. Bureau Files Inventory Activity
4. Operations Management.
   a. Administration
   b. Reporting
   c. Electronic Records
   d. Retention/Retirement
   e. Facilities
   f. Equipment
   g. Personnel
   h. Special Projects
   i. Automated Records Management System
   j. Training
5. Statistical Tables
   a. Production
   b. Production Schedule
   c. Retention Holdings
   d. Financial Tables
   e. Hours Allocation

B: Beginning from the first through the sixth working day of the next month, text data and statistics should be complied, reviewed and edited.

C: By the seventh/eighth working day of the same month, the file and statistics should be in their final form and printed up for signature by the project manager.

D: By the ninth working day, the entire report, including statistics, will be submitted to the project manager for review and his signature before distribution.

E: By the eleventh working day, no later than the 12th working day, the report will be distributed as follows.

1. M/AS/ISS/RM COTR - original with financial data + 1 copy
2. M/AS/ISS Director - 1 copy with financial data
3. PPC/CDIE/DI COTR - 1 copy with financial data
4. DISC/Project Director - 1 copy with financial data
5. DISC/Project Administrator (LTS) - 1 copy with financial data
6. DISC/Deputy Project Director - 1 copy with financial data
7. RIMS/Imaging Manager - 1 copy with financial data

RIMS USERS GUIDE

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3. A.I.D. Geographic Codes and Country Names
4. RIMS CD Directory Files Listing
5. Sample RIMS CD Image Directory Files Listing
6. RIMS Batch File and Configuration Instructions

QUICK START

RIMS CD-ROM Operating Instructions

1. Insert the most current issue of CD-ROM into the CD-ROM drive unit, or into a "caddy" and place the caddy into the CD-ROM drive unit.

2. From the directory on the C:> drive where the RIMS software is installed, type CONTRACT E (name of organizational unit and CD-ROM reader drive letter) and hit **<ENTER>**.

3. Read the ***important*** note giving you instructions on finding and retrieving images that may be located on other issues of the FA/OP RIMS CD-ROM (i.e. CD no. 4, CD no. 3, etc). These instructions say:

   Hit **<ENTER>** when you have completed reading the note.

   You should wait for the CD-ROM drive light to go out before doing anything.

4. The welcome screen (**Screen 1**) will appear for the FA/OP RIMS CD-ROM. You will be asked to select from one of the following:

   (**C**)ontract RIMS Database
   (**G**)etting Started

5. Select (**C**) to gain access the contracts database with entries for all documents processed through records management since FY83.

6. You will then be asked how you would like to search for a document (**Screen 2.1**). Your options are to search by the following fields:

   Contract Number
   Contractor Name
   Document Type
   Date Signed
   Project Number
   More...

7. Hit "*More*" to see other fields (**Screen 2.2**):

   Geo / Program Area
   A.I.D. Geocode
   DOCID

8. Using the up or down arrow keys, or use the first letter of your choice , select one of these fields and hit **<ENTER>** to begin your initial search.

9. A window will open to the right (**Screen 3**) with a sorted alphanumeric list (0-9, A-Z) of the contents of the field you selected. Type in the specific item you are looking for, like a specific contract number. The number you type will appear at the top of the screen. Also the list of contract numbers will move to the number you type. It will be highlighted in white. Hit **<ENTER>** to confirm. A yellow check mark will appear to the left of your selections.

10. Hit **F5** to perform the search.

11. The computer will tell you how many items it found matching your search criteria (**Screen 4**). It will then ask you if you want to **display results**.

12. **Display results** by hitting **<Enter>**.

13. The database record for the document will appear on the screen (**Screen 5**). The text will include contract number, contractor name, project number, country, date signed, amendment number, document type, and the available format for the document (i.e. image or microfiche).

    Be sure to write down the DOCID number for future reference, particularly if you want to print all or part of the document.

14. If this is not the record you are looking for you can **Restart Search** by pressing **<F3>** (See **Screen 5.1**).

15. The last line of the record will indicate whether the document is available as an image or can be found in microfiche only. To display the image, hit **<F7>**.

16. **Available as Microfiche**. If the format line indicates the document is only available in microfiche, and you hit <F7> to display the image, you will see **Screen 5.3**.

Image Display

17. **Available as an Image**. If it is available as an image, it will tell you the CD issue number on which it can be found. For instance, CD no. 1 or CD no. 2, and so on.

    If it says available on CD no. 1 and this is the one you have in the CD-ROM reader, then you are okay. Hit **<F7>** to display the image.

    If it says it is available on CD no. 2 and you are looking at CD no. 1, the computer will instruct you to insert CD no. 2. It is important to recall the instructions from the opening screen at this stage. The computer will tell you to insert CD no. X once you take CD no. 1

out, but *ALWAYS WAIT* for the computer to do so before proceeding (wait for CD reader light to go out). Or hit **<F10>** to exit completely from the program and then swap CD's.

You will then see the image displayed on the screen (**Screen 5.2**).

18. To **Zoom** in on an image, hit the + (plus) sign. You will only see the top portion of the document. Hit the **Down Arrow** to see the bottom portion of the page image. Hit - (minus sign) to return the document to normal size.

19. To **View the Next Page** hit **Page Down**. To go back to the previous page, hit **Page Up.**

20. Other Options:

<F1>	-	Help or display options
<Home>	-	Go to the first page (image) of a document
<End>	-	Go to the last page (image) of a document
<F10> -	Return to index record	

21. Hitting **<F10>** will return you to the record where you refine the search (**Screen 6**), Restart the Search or quit.

22. If you select **<F10>**, Quit Program you will see (**Screen 7**).

23. Take the caddy out of the CD-ROM reader. Remove the CD-ROM and return it to its corresponding, properly labelled storage case. Close the CD-ROM reader door.

QUICK START - PRINTING

1. Exit the RIMS program and return to the DOS prompt - C:>RIMS.

2. Type **PRINTING** <space> DOCID number of the document you want to print. Hit **<ENTER>**. This will take you to the first page of the document you want to print.

3. When you are ready to actually start printing, hit **INSERT**. The print menu will appear with the following options:

    1. Print Current Page
    2. Range of Pages to Print (Not available at this time)
    3. Print all pages
    4. Exit (No Print)

    Select one of these options and hit **<ENTER>**.

4. This will bring up the menu - **Select Printer Resolution**. Pick one of the following options:

1.	Draft	-	75 DPI	
2.	Normal	-	150 DPI	(recommended)
3.	Letter Quality	-	300 DPI	(slow print)
4.	Return			

Select one of the above and hit **<ENTER>**. The printer will start. Normal works very nicely with very legible print. For a working copy, Draft is adequate and prints very quickly. It is recommended that Letter Quality not be used as it takes a long per page to print.

2. RIMS Overview

- What is a CD-ROM?
- RIMS CD-ROM Contents
- Loading the CD-ROM
- Search Modes
- Getting HELP
- Getting Out
- Getting Comfortable

What is a CD-ROM?

CD-ROM means "compact disk - read only memory". A CD-ROM disk is similar to the familiar floppy disk, in that it is a means of storing and retrieving data. However, the way in which the data is encoded on the disk is different; it is actually etched into the surface by a laser beam. The high precision of this method enables a large volume of data to be stored on the disk. The data cannot be erased or corrupted, but by the same token, it cannot be revised or replaced. A CD-ROM reader, attached to any personal computer, is used to access the data on the disk.

RIMS (Records Image Management System) CD-ROM Contents

RIMS CD-ROM is a compact disk containing bibliographic information, including a pointer to the storage location (microfiche or images), for documents comprising the official project files of the U.S. Agency for International Development. It is linked historically with the APDMS (Agency Project Document Micrographic System) and is a continuation of the same basic system, the difference being

the storage medium and the fact that a current, searchable database is included on each CD. The RIMS CD-ROM is sponsored by the Agency's records management office (M/AS/ISS/RM) for participating geobureaus.

RIMS CD-ROM's are produced for the geobureaus as frequently as a sufficient volume of official project documents accumulate - usually, at least quarterly or more often. Each RIMS CD-ROM contains the most current records management database for the geobureau, along with approximately 10,000 images (pages) from documents received since the last RIMS CD-ROM was issued. The database refers to official project documents stored in both microfiche and image formats. Document images residing on earlier issues of the bureau's RIMS CD are referred to by number and can be accessed by following instructions. Documents in microfiche format are indicated, and the user is directed to their microfiche collection.

Each of the records management databases presents record information in a standardized format. The record identifies a specific document associated with a specific project by keys such as project number, project title, document type, contract number, contractor name, geo / program area (country), and document dates or the date signed.

Copies of most of the documents cited in the database can be ordered in paper or microfiche format from the A.I.D. Development Information Services Clearinghouse (See *Appendix 1* for ordering information).

Loading the CD-ROM

Insert the most current issue of the RIMS CD-ROM into the CD-ROM drive unit, or into a "caddy" and place the caddy into the CD-ROM drive unit. From the directory where the RIMS software has been installed, type the name of your bureau plus the letter of the CD-ROM reader drive. For example, LAC E for the LAC bureau with "E" being the CD reader drive letter. Read the important note giving you instructions on other issues of the RIMS CD-ROM and how to interchange them when it's necessary to display an image stored on another CD. You have to wait for the CD-ROM drive light to go out before doing anything, otherwise the system may lockup.

Search Mode

The information on a RIMS CD-ROM is organized to be searched directly using combinations of menu picks. There is one set of instructions and options which you see on the screen. A "Getting Started" path is available if you need to familiarize yourself with the system. It runs through the help messages. You select the mode you prefer on the first menu in the RIMS CD, the Main Menu. Please refer to ***Screen 1***.

General Search

This mode guides the search process, step-by-step, through a series of menus. Only the options which are logical at each step are presented. There are three types of keys used repeatedly and consistently: arrow keys to move up and down in a menu or display screen, **ENTER** to make a selection and move forward in the search, and **ESC** to move backward. Any other keys which are available for use are clearly displayed in a fixed white bar at the bottom of the screen, or as part of the instructions at a particular step.

The selection of search criteria is designed to provide a number of ways to assist users access official project files, including those of APDMS (Agency Project Document Micrographics System). Searches for information on a country or program area are enhanced by options to search either for an individual country name, for all countries in a geographic region, by the geocode of the country, or by combining the geocodes or names of all the countries which are the focus of an A.I.D. geographic bureau. Searches for a particular type of document are enhanced by options to search by the name of the document type (i.e. grant, contract, project paper, etc.). HELP messages provide additional details, background information about the data, and search tips.

Getting HELP

Online HELP is available at any time. Just press **F1** for information about the screen which you are currently viewing. Press **ESC** when you are finished reading the message. Each message explains what to do at that point.

Getting Out

Any operation can be reversed by pressing the **ESC** key - in other words, **ESC** takes you back one step.

You can also leave the RIMS CD-ROM completely at any time. Within the Search mode, press **F10** to quit. (This option is clearly visible at all times in the highlighted bar at the bottom of the Search screens.)

Getting Comfortable

No matter how simple any computer package is intended to be, initially almost everyone will make mistakes and feel frustrated. Relax. The use of any new computer program or database involves an often uncomfortable period of learning and adjustment. This is especially true if you are beginning to learn how to find information with the aid of a computer. On the computer, it is not possible to "see" the body of information available, or the logic to its organization and use.

If you are new to RIMS CD-ROM's, and especially if you are new to database searching, please take a few minutes to glance through this user guide, and try an experimental search with the aid of some

HELP messages. You cannot damage, overwrite or accidentally erase the data from the RIMS CD-ROM disk.

3. The Search Mode

- Keyboard basics
- What is the question?
- The basic search cycle
- Refining the search
- Display and print options

Keyboard Basics

Say Hello to your Keyboard

There are several keys which are consistently used in the Guided Search mode for menu selection and display.

To SCROLL up and down/highlight:	**Up/down arrows, PgDn PgUp**
To SELECT/go forward one step:	**ENTER**
To CANCEL/go back one step:	**ESC**

Any other keys which you might need to use in the Guided Search are clearly displayed in a highlighted bar at the bottom of the screen (when applicable), or together with the on-screen instructions at a particular step. These are assigned as follows:

HELP	**F1**
RESTART SEARCH	**F3**
SEARCH	**F5**
SEARCH HISTORY	**F6**
DISPLAY IMAGE	**F7**
PRINT / DOWNLOAD	**F9**
QUIT PROGRAM	**F10**

How to Select from a Menu or List

Search uses menus and lists to give you the logical options which move you forward through the steps in a search. Broadly speaking, these help you to make two types of choices:

(1) What do you want to do next? The options available at any point are listed on menus, e.g. "What field do you want to search by: project number, country, document type, etc. Highlight your choice by scrolling (using up/down arrow keys) to that entry (or type the first letter of the entry), press **ENTER**, and proceed directly to take that action.

(2) What are you looking for? These options are presented as lists of the words, names, dates, numbers and categories that you can search for in the database selected. **You can choose more than one.** Highlight your choice by scrolling to that entry (or type the first few letters), press **ENTER**, and see a check mark appear to the left of your selection. Repeat for each additional choice (or to "deselect" any choice that you've already checked). When finished, press **F5** to begin searching. The search is interpreted as: "Find all records containing any of the checked search terms." (See below for more details on the "the basic search cycle, and see the next section for specific tips on searching for various types of data).

What is the Question?

Before beginning any search, it is helpful to think through what it is you are looking for. What is it that you hope to find information "about"?

First of all, are you looking for the type of information that might be contained in specific A.I.D. project documentation? The answer to this question will help you determine where to look.

Secondly, what is the focus of your question? Most often, the focus is on a project or a country. Sometimes, the focus is very specific such as a known instrument with a specific document number like a contract, grant, or PIO/T related to a specific project.

Thirdly, do you have any criteria in mind which limit the focus of your questions, for example, to a particular time period, project number, type of document or document number?

The answer to these last two questions will help you determine HOW to search in the database and pull up the image of the document in question.

The Basic Search Cycle

Within all the RIMS databases it is possible to search by:

Project Number
Title Words
Geo / Program Area
A.I.D. Geocode
Document Type
Contract Number
Contractor Name
Document Dates
DOCID

Within the Search mode you cycle through a set of menus and displays to complete one "search". If you have found what you are looking for, you can display the image of the document, or print the results (i.e. bibliographic database record or page(s)) and exit. It is more common, however, to want to broaden or narrow the focus of the results by cycling through the search process several more times. This is accomplished by "refining" the search. The basic search cycle is illustrated in this section, while techniques for refining the search are described in the subsequent section.

The basic search cycle is very simple to follow. Each step is guided by a menu or list of options. These menus are displayed in succession on the screen in clockwise fashion, beginning at the upper left with the Search Menu (**Screen 2.1**) followed by the list of available Search Terms to the right (**Screen 3**); this is overlaid by a display of the Search Results, which is followed immediately by a Display/Refine/Print Menu, below the Search Menu (**Screen 4**).

At each step, the border of the current menu is always highlighted. Upon completion of one cycle, you can see the progression of your search thus far.

Details on each of the steps follow.

Search by - Selecting from the Search Menu

The Search Menu lists the various ways in which you can retrieve information from the database. If the number of choices exceeds the space available in the menu box, select "More" to see the additional choices. From the second menu, return to the first list by selection "More" again (**Screen 2.1, Screen 2.2**).

Begin a search by selecting the item on the menu which matches the primary focus of your query. As soon as you make a selection from this menu, the list of specific, available search terms appears to the right. They are sorted in alphanumeric sequence, smallest to largest (0-9, a-z).

Type or Select the Search Term(s)

Most options on the Search Menu lead to a list of specific words, names, dates, numbers or categories. You can scroll to the entry you want to search for, or, if the list is long, "jump" ahead by typing all or part of the search word, name, date or number after the prompt at the top of the terms box (**Screen 3**). If there is no entry which exactly matches what you have typed, the highlights will fall on the next item in alphabetical or numerical order.

Whenever a list of terms is provided, you can always select and search for as many entries in the list as you like. For example, to search on the date range 1980-1990, select all of the dates in that range, one-by-one; press **F5** to then begin the search. The RIMS CD-ROM will retrieve all records matching those dates.

In the case of title words, the process of specifying what you are looking for is slightly different. Instead of a list, you see a blank box. In the box, type the words (or word stem, e.g., "educat*") you are looking for. Putting an asterisk "*" after it captures all words beginning with 'educat' (i.e. educate, education, educational, etc.).

See Total Found

The search results (**Screen 4**) overlay the term selection box. **TYPE** indicates, in an abbreviated manner, the type of information you selected in the Search Menu. **TERM** indicates the specific search term; if you searched for more than one, only the first is listed, followed by and ellipsis (...). **RECORDS FOUND** are the number of records containing that specific term. **TOTAL RECORDS** are the number of records which match the overall search strategy thus far.

After the first search, the number under FOUND and TOTAL will be identical. If you go on to refine the search, TOTAL will reflect the end result of the combined searches.

Display, Refine, or Print

This box marks the end of one search cycle (**Screen 5**). In the box, the TOTAL is repeated at the top, followed by three logical options. You may want to DISPLAY the results before going any further; within display, there are options to display the image, print or download a single records, selected records, or the entire set. Or you may want to go ahead and REFINE the results with some qualifying or limiting criteria. PRINT enables you to print the records found without displaying them first. (At this time, you must exit the CD and run the RIMS print module installed on you hard drive.)

Refining the Search

To modify the results of a search, select REFINE. You then see another menu with options to narrow or broaden the search, exclude unwanted terms, or undo the last step (**Screen 6**).

Narrow the Search

Select this option to focus the search and REDUCE the TOTAL number of records found. (This is equivalent to the Boolean AND used in database searching).

For example, select NARROW if you have just completed a search for information on a particular country, and now want to limit the focus of that search by date range. After selecting NARROW, you will see the Search Menu again. Select the limiting criteria (e.g. document date). The search result will automatically be combined with the previous result. The new TOTAL indicates only those records which match both criteria (e.g. country and date range).

Broaden the Search

Select this option to expand the search and INCREASE the TOTAL number of records found. (This is equivalent to the Boolean OR used in database searching).

For example, select BROADEN if you have just completed a search for information on a particular subject but did not find much of inters. You may now want to add to the last result by searching on other related subjects. After selecting BROADEN, you will see the Search Menu again. Select your alternate criteria (e.g. document type). The search result will automatically be added to the previous result. The new TOTAL indicates all of the records which match either criteria (e.g. 'subject 1' or 'subject 2').

Exclude Terms

Select this option to ELIMINATE selected words, dates, names, etc. from your search. (This is equivalent to the Boolean AND NOT used in database searching.)

For example, select EXCLUDE if you have completed a search for information on all countries in A.I.D.'s Bureau for Europe and the Newly Independent States (ENI), but now want to focus on eastern European countries only. You can eliminate the unneeded ENI countries (e.g. Ireland, Portugal, Italy, etc.) from the search result. After selecting EXCLUDE, you will see the Search Menu again. Select the criteria which you want to exclude (e.g. geo / program area: country name). The search result will automatically be eliminated from the previous result. The new TOTAL indicates only those records which remain from the first search (e.g. EUR countries minus Ireland, Portugal, Italy, etc.).

Undo the Last Step

Select this option to cancel the last search result. For example, select UNDO if the last search TOTAL was 0. Or, select UNDO if, after displaying the last set of records found, you decide that you want to cancel that set.

YOU CAN UNDO THE LAST STEP ONLY. You cannot cancel any previous search results.

If you have completed only one search step, and you UNDO it, you return directly to the Search Menu (just as though you are beginning a new search).

If you have completed several search steps, the last step of your search will be erased from the Search Results. You will then see the DISPLAY, REFINE, PRINT options. Any of these options will work against what now appears to be the last TOTAL displayed.

Example

Search Question: "We are interested in evaluation reports for Senegal, particularly those written since 1985." The search criteria are thus:

- Senegal (Geo/Program Area)
- Evaluation Report (Document Type)
- 1985-1994 (Document Date)

You would then cycle through the search process several times to successively include each criterion: country, document type, and date.

The entire search would involve the following steps:

Cycle 1

1. From the Search Menu, select "Geo/Program Area".
2. In the Geo/Program Area list, check "Senegal".
3. Press **F5** to begin searching on the checked Geo/Program area.
4. See the Search Results.
5. From the Display, Refine, Print Menu, select "Refine Search".
6. "Narrow" the search.

Cycle 2

7. From the Search Menu, select "Document Type".
8. From the Document Type list, select "Report, Evaluation".
9. Press **F5** to begin searching on the checked document type.
10. See the new Search Results.
11. From the Display, Refine, Print Menu, select "Refine Search".
12. "Narrow" the search.

Cycle 3

13. From the Search Menu, select "Document Date".
14. In the date list, check all entries within the specified range of interest, e.g. 1985-1994.
15. Press **F5** to begin searching on all checked items.
16. See the new Search Results.

17. From the Display, Refine, Print Menu, select "Display Results".
18. Review the records found.

Display and Print Options

Display

To see the results of any search, select DISPLAY from the Display, Refine, Print Menu. The full display brings one record to the screen at a time. In the top corner of the screen, a "counter" shows you the number of that record within the set of records found, e.g. 1 of 50, 2 of 50, etc. Follow the instructions at the bottom of the screen to scroll up/down within the record, or to move to the "next" and "previous" records within the set.

Note the use of the **ESC** key to return to the search process to further refine your results.

Selecting

As you browse, you can select individual records for print or download by pressing **INS** anywhere within the record. Next to the "counter" at the top of the screen, you will then see a note which says, "SELECTED FOR PRINT". If you change your mind, press **INS** again. The note will disappear.

When ready to print or download, press **F9**.

Display, then print or download.

From within the record display, you also have the option to print or download (copy to disk) the currently displayed record only, all records found, or selected records (see above). This option is provided as a Function Key (**F9**) at the bottom of the screen.

PRINTING enables you to print records found by your search. Normally, the output is directed to the printer which is attached to your PC. If the PC is connected to a network and you are not sure which printer is designated for output from you work station, check with you local network manager.

1. Exit the RIMS program and return to the DOS prompt - C:>RIMS.

2. Type **PRINTING** <space> DOCID number of the document you want to print. Hit **<ENTER>**. This will take you to the first page of the document you want to print.

3. When you are ready to actually start printing, hit **INSERT**. The print menu will appear with the following options:

1. Print Current Page
2. Range of Pages to Print (Not available at this time)
3. Print all pages
4. Exit (No Print)

Select one of these options and hit **<ENTER>**.

4. This will bring up the menu - **Select Printer Resolution**. Pick one of the following options:

1.	Draft	-	75 DPI	
2.	Normal	-	150 DPI	(recommended)
3.	Letter Quality-		300 DPI	(slow print)
4.	Return			

Select one of the above and hit **<ENTER>**. The printer will start. Normal works very nicely with very legible print. For a working copy, Draft is adequate and prints very quickly. It is recommended that Letter Quality not be used as it takes a long per page to print.

DOWNLOADING enables you to copy records to your hard disk. The RIMS CD-ROM currently assumes that you have a hard disk designated as "c:". Before downloading begins, you will be advised of the full path and filename.

Once you press **F9**, a series of questions and sub-menus help you identify: (1) which records, (2) how much of each record, and (3) whether to direct output to the printer or to the disk. At any point in this series of questions, you can **ESC** back to the Display screen. Once the printing or downloading has begun, you also have the option to press **F9** to cancel the operation and return to the Display Screen.

Print or Download Only

Select PRINT from the Display, Refine, Print Menu to print or download (copy to disk) ALL records found by your last search. If you want to see the records first, or print/download only SELECTED records, then select DISPLAY instead and follow the directions from the previous section.

When you are Finished

If you have come to a "dead end" in the search process and do not want to either display, refine or print the current search, press **F3** to RESTART SEARCH - that is, start a completely new search, or **F10** to exit completely from the RIMS CD-ROM you are using. Upon exiting, you will see **(Screen 7)** and be returned to the DOS prompt.

4. Search Tips

Searching by Project Number [H16]

Scroll down to read about the following topics:

- o Information about PROJECT NUMBER
- o How to Search by PROJECT NUMBER
- o Tips on Searching by PROJECT NUMBER

Information about PROJECT NUMBER

A project number is the unique 7-digit identification number assigned to all A.I.D. projects; sub-projects bear a 9-digit number. The first three digits are the same as the A.I.D. GEOGRAPHIC CODE for the host country or region.

How to Search by PROJECT NUMBER

On the search screen, you see a numerical list of project numbers. They are sorted in ascending numeric sequence, smallest to largest (0000000 - 9999999). You can search for one or more numbers, in any order. To select and search:

1 HIGHLIGHT scroll to, or type a project number

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

NOTE: If you type a project number which is not in the list, the highlight will always fall on the next entry in numerical order closest to the project number you entered.

Tips on Searching by Project NUMBER

All projects bear at least a 7-digit project number; sub-projects bear a 9-digit number. The first three digits are the same as the A.I.D. GEOGRAPHIC CODE for the host country or region.

If you want to find all information "about" a country or region, search by GEO/PROGRAM area.

Searching by Title Words [H15]

Scroll down to read about the following topics:

- o Information about TITLE WORDS
- o When to Search by TITLE WORDS
- o How to Search by TITLE WORDS

Information about TITLE WORDS

"Title Word" refers to the official project title or an abbreviated version thereof (limited to 40 characters). In addition to the official project title, title words may also include subproject or subactivity title information, and/or other information to identify the general nature of the documentation (e.g., "Amends. 1-4", PIO/T numbers, Action Memo, CN, TN, etc.) that cannot be found in other fields.

Project titles have not necessarily been entered consistently for the same project. For the sake of brevity, project titles have sometimes been entered with abbreviations, Roman numerals, and embedded punctuation (e.g., "Population Project/Family Planning II").

When to Search by TITLE WORDS

Search by title words to (1) find a specific project title; (2) search for information about a particular project, organization or entity that may be included in the project title; or (3) search by an instrument number (i.e. PIO/T, Amendment No.'s, PIL #'s, CN, TN, etc.). In case of (2) or (3), you may want to search title words and narrow the search in conjunction with another field such as document type or contract number.

Although the manner of data entry may make it difficult to use TITLE WORDS for comprehensive or accurate retrieval, searching by TITLE WORDS may be useful if a project number is not known, or if you wish to search across projects in a general subject area (e.g., "agriculture").

How to Search by TITLE WORDS

Type the major words which you believe would be included in the title. Word order is not important. You do not need to include insignificant words (of, then, and, there, etc.).

To search on a word stem, enter as much of the word as appropriate, followed by an asterisk (*). Example: "agric*". This will retrieve all words beginning with this stem (e.g., agriculture, agricultural), as well as the abbreviation "agric.". The asterisk can only be used to the right of a word stem, not to the left.

If there is embedded punctuation in the title, you must search on the entire character string which includes that punctuation. For example, using the title cited above, "Population Project/Family Planning II", if you search on the word "family" alone, you will not retrieve this title. You would have to search on the entire string "project/family".

RIMS can only determine whether the typed words appear in the project and/or item titles in the same citation. It cannot determine whether the words are adjacent.

Searching by Geo / Program Area [H12]

Scroll down to read about the following topics:

- o Information About GEO/PROGRAM AREA names
- o How to Search by GEO/PROGRAM AREA

Information About GEO/PROGRAM Area Names

Geographic and program area names are determined by the agency's Budget Office. Most often this field contains COUNTRY names as defined in "A.I.D. Handbook 18", Appendix D. An example of a common PROGRAM area name is "Development and Support". GEO/PROGRAM Area Names may change periodically to reflect the latest information available. (Please refer to *Appendix 2* for a list of geocodes and country names.)

How to Search by GEO/PROGRAM AREA

You can search for any number of area names, in any order. To select and search:

1 HIGHLIGHT scroll to, or type area name

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

NOTE: If you type an area name which is not in the list, the highlight will always fall on the next entry below, in alphabetical order.

Searching by AID Geo Code [H16-P1]

Scroll down to read about the following topics:

- o How to Search by GEOGRAPHIC CODE
- o Tips on Searching by GEOGRAPHIC CODE

How to Search by GEOGRAPHIC CODE

On the search screen, you see a numerical list of geographic codes. You can search on one or more codes, in any order. To select and search:

1 HIGHLIGHT scroll to, or type a geographic code

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

NOTE: If you type a code which is not in the list, the highlight will always fall on the next item below, in numerical order.

Tips on Searching by GEOGRAPHIC CODE

Geographic Codes are defined in "A.I.D. Handbook 18", Appendix D. The Geographic Code comprises the first 3 digits of the A.I.D. Project Number. (Please refer to *Appendix 2* for a list of geocodes and country names.)

You may also wish to retrieve information about a country, region, or program area by searching GEO/PROGRAM AREA.

Searching by Document Type [H23]

- o Information about DOCUMENT TYPE
- o How to Search by DOCUMENT TYPE

o Tips on Searching by DOCUMENT TYPE

Information about DOCUMENT TYPE

Project documentation is divided into groups which correspond to activities during a project's lifecycle (i.e. project development, core project administration, correspondence, reports, etc.). The purpose of the groups is to aid in organizing files for easy access and retrieval. Each group consists of a set of document types comprised of specific project documents.

On the RIMS CD-ROM, the document types are listed alphabetically with a number in parenthesis. The number indicates the physical file sequence by project within a drawer for the official project files. A list of project document types can be found in *Appendix 3*.

How to search by Document Type

You can search for one or more specific document types. To select and search:

1 HIGHLIGHT scroll to a document type

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

NOTE: If you type a DOCUMENT TYPE which is not in the list, the highlight will always fall on the next entry below, in alphabetical order, closest to the one you entered.

Tips on searching by DOCUMENT TYPE

The following list identifies document types common to A.I.D. projects. The list is group according the project lifecycle and the physical file location. It can be used as an aid to determine what document types are listed alphabetically on the RIMS CD-ROM and their logical connection with other project-related documents.

Searching by Contractor [H20]

Scroll down to read about these topics:

o Information on CONTRACTOR

- o How to Search by CONTRACTOR
- o Tips on Searching by CONTRACTOR

Information on CONTRACTOR

CONTRACTOR contains the contractor name up to eighty characters. It may contain several versions of the contractor name depending on the way the name was specified on the document. Variations include abbreviations, parentheses, capital letters. It is advisable to check several possibilities for the most complete and comprehensive search.

How to Search by CONTRACTOR

You can search by any number of CONTRACTOR names, in any order. To select:

1 HIGHLIGHT scroll to, or type an contractor name

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

NOTE: If you type a CONTRACTOR name which is not in the list, the highlight will always fall on the next entry below, in alphabetical order.

Search Tip

CONTRACTOR names are entered in a variety of forms. You may need to search through the index for alternative spellings, abbreviations, etc. Select all forms that apply. For example:

3M
3M COMPANY
3M DE PANAMA
3-M CIE

Searching by Contract Number [H21]

Scroll down to read about the following topics:

- o Information on Contract Number
- o How to Search by Contract Number

Information on CONTRACT NUMBER

The CONTRACT NUMBER is the official, unique 21-digit number assigned to all A.I.D. contract instruments (originals, amendments). Apart from searching for a specific contract, you will usually use the contract number in conjunction with "document type" to narrow a search because of the cross-referencing between the contract number and other document types.

How to Search by CONTRACT NUMBER

On the search screen, you see a numerical list of contract numbers. They are sorted in ascending numeric sequence, smallest to largest (000 - 999). You can search on one or more numbers, in any order. To select and search:

1 HIGHLIGHT scroll to, or type a contract number

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

NOTE: If you type a contract number which is not in the list, the highlight will always fall on the next entry in numerical order closest to the contract number you entered.

Please be aware that contract numbers may have been entered on the source document with or without dashes. This means that a contract number may be in one or more locations within the index.

Searching by Date Signed [H17]

Scroll down to read about the following topics:

- o Information on the Date Signed
- o How to Search by Date Signed

Information on Date Signed

For all official project documents requiring an authorized, approved signature, "Date Signed" means the official signature date on the document. For all other documents, the date signed indicates the date of the document (i.e. cables, correspondence, PIL's, reports, etc.).

How to Search by Date Signed

You can search by one specific date, or by a range of dates. To search:

1 HIGHLIGHT scroll to, or type a starting date

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

To search on a date range (e.g. 1991-01-02 through 1991-02-15), highlight and check each date in the range, then press <F5> to begin the search.

NOTE: If you type a document date (date signed) which is not in the list, the highlight will always fall on the next entry in numerical (date) order closest to the date you entered.

Searching by DOCID [H19]

Scroll down to read about the following topics:

- o Information on the DOCID
- o How to Search by DOCID

Information on the DOCID (Document Identification Number)

The DOCID number is the unique control number assigned to each RIMS document. The DOCID number is composed of 8 characters in the format PDAAA000. The numbers are assigned sequentially as the documents are processed. The PD prefix is assigned to documents which provide information about specific A.I.D. projects. Select this option if you know one or more DOCID numbers and want to search for the citation quickly.

How to Search by DOCID

The DOCID number is the unique control number assigned to each RIMS document. If you know one or more DOCID numbers and want to search for the full citation in the RIMS database:

1 HIGHLIGHT scroll to, or type a starting year

2 SELECT press <ENTER> to check (or uncheck)

3 SEARCH press <F5> to search on all checked entries.

NOTE: If you type a DOCID number which is not in the list, the highlight will always fall on the next entry in alphanumeric order closest to the date you entered. If the DOCID cannot be found, there is no record on this RIMS CD-ROM; or verify the number and try again.

5. Support

Support for the RIMS CD-ROM can be obtained through the Agency's Records Management Office. M/AS/ISS/RM, NS B930. (202) 736-4748.

Appendix 1

Ordering Documents

Overview

Documents may be printed directly from the appropriate RIMS CD-ROM if they are in image format. For those documents in microfiche, your bureau microfiche collection should be consulted and a paper copy made using the microfiche reader/printer. If neither of these options is available or works and you still need a copy, the document can be ordered.

Copies of most of the documents cited on a RIMS CD-ROM can be obtained in paper and microfiche format from the A.I.D. Development Information Services Clearinghouse (DISC). Address:

A.I.D. Development Information Services Clearinghouse
1500 Wilson Blvd. Suite 1010
Arlington, VA 22209-2404
Tel: (703) 351-4006
Fax: (703) 351-4039

User Categories

The charge and turnaround time for document delivery vary according to User Category. The following category, turnaround times, and charges are defined by A.I.D. This is the only category for which the documents may be available as the collection is considered for internal Agency use only.

Category I - 1 day turnaround

A.I.D./W and USAID Mission requests are fulfilled FREE-OF-CHARGE.

Information Needed from You

- Requestor number (if you have ordered previously)
- Send-to address
- For each document requested:
  - DOCID / Order Number
  - Document Title (type / project)
  - Number of Copies
  - Format (Paper or Microfiche)

Appendix 2

A.I.D. Geographic Codes and Country Names

Bureau	Country Name			Geocode
AFR	Africa	698		
AFR	Angola		654	
AFR	Area Development Office - Dakar		628	
AFR	Area Development Office - Niamey	626		
AFR	Area Development Office - Yaounde	627		
AFR	Benin		680	
AFR	Botswana		633	
AFR	Burkina Faso		686	
AFR	Burundi		695	
AFR	Cameroon		631	
AFR	Cape Verde		655	
AFR	Central African Republic	676		
AFR	Chad	677		
AFR	Comoros	602		
AFR	Congo	679		
AFR	Djibouti	603		
AFR	East Africa (Regional Dev Office)		618	
AFR	English-speaking Africa			
AFR	Entente	689		
AFR	Equatorial Guinea		653	
AFR	Ethiopia	663		
AFR	French-speaking Africa			
AFR	Gabon	678		
AFR	Gambia	635		
AFR	Ghana	641		
AFR	Guinea	675		
AFR	Guinea-Bissau		657	
AFR	Ivory Coast	681		
AFR	Kenya	615		
AFR	Lesotho	632		
AFR	Liberia	669		
AFR	Madagascar		687	
AFR	Malawi	612		
AFR	Mali	688		
AFR	Mauritania	682		
AFR	Mauritius	642		
AFR	Mozambique	656		
AFR	Namibia	673		

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Bureau	Country Name	Geocode
AFR	Niger	683
AFR	Nigeria	620
AFR	Portuguese - Speaking Africa	659
AFR	REDSO/EA	623
AFR	REDSO/WA	624
AFR	Regional U.S. AID/Africa	697
AFR	Rhodesia, Southern	614
AFR	Rwanda	696
AFR	SAHEL Regional	625
AFR	Sao Tome and Principe	658
AFR	Senegal	685
AFR	Seychelles	662
AFR	Sierra Leone	636
AFR	Somalia	649
AFR	South Africa	674
AFR	Southern Africa Region-OSARAC	690
AFR	Spanish Africa	651
AFR	Sudan	650
AFR	Swaziland	645
AFR	Tanzania	621
AFR	Togo	693
AFR	Uganda	617
AFR	Zaire	660
AFR	Zambia	611
AFR	Zimbabwe	613
ANE/ASIA	Afghanistan	306
ANE/ASIA	ASEAN Regional	399
ANE/ASIA	Asia Regional	498
ANE/ASIA	Asia/Near East Regional	398
ANE/ASIA	Australia	880
ANE/ASIA	Bangladesh	388
ANE/ASIA	Brunei	485
ANE/ASIA	Burma (Myanmar)	482
ANE/ASIA	Cambodia	442
ANE/ASIA	China, People's Republic of	435
ANE/ASIA	China, Republic of	484
ANE/ASIA	Fiji Islands	882

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Bureau	Country Name	Geocode
ANE/ASIA	Foreign Affairs DP Center/Bangkok	499
ANE/ASIA	Gilbert (Kiribati) and Ellice (Tuvalu	871
ANE/ASIA	Guam	008
ANE/ASIA	Hong Kong	478
ANE/ASIA	India	386
ANE/ASIA	Indonesia	497
ANE/ASIA	Japan	488
ANE/ASIA	Kiribati	871
ANE/ASIA	Korea, Republic of	489
ANE/ASIA	Laos	439
ANE/ASIA	Malaysia	483
ANE/ASIA	Melanesia	
ANE/ASIA	Micronesia	
ANE/ASIA	Mongolia	438
ANE/ASIA	Nepal	367
ANE/ASIA	New Caledonia	888
ANE/ASIA	New Hebrides	891
ANE/ASIA	New Zealand	890
ANE/ASIA	Niue	
ANE/ASIA	North Korea	432
ANE/ASIA	Oceania	
ANE/ASIA	Pacific Islands	007
ANE/ASIA	Pakistan	391
ANE/ASIA	Papua New Guinea	889
ANE/ASIA	Philippines	492
ANE/ASIA	Polynesia	
ANE/ASIA	Singapore	480
ANE/ASIA	Solomon Islands	870
ANE/ASIA	South Asia	
ANE/ASIA	South Pacific Regional	879
ANE/ASIA	South Pacific Regional	838
ANE/ASIA	Southeast Asia	
ANE/ASIA	Sri Lanka	383
ANE/ASIA	Tahiti	886
ANE/ASIA	Thailand	493
ANE/ASIA	Tonga	887
ANE/ASIA	Tuvalu	
ANE/ASIA	Vanuatu	

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A.I.D. Geographic Codes and Country Names

Bureau	Country Name	Geocode
ANE/ASIA	Vietnam	730
ANE/ASIA	Vietnam	440
ANE/ASIA	Western Samoa	491
ANE/NE	Algeria	638
ANE/NE	Bahrain	231
ANE/NE	CENTO	290
ANE/NE	Cyprus	233
ANE/NE	Egypt	263
ANE/NE	Gaza Strip	292
ANE/NE	Greece	240
ANE/NE	Iran	265
ANE/NE	Iraq	266
ANE/NE	Israel	271
ANE/NE	Jordan	278
ANE/NE	Lebanon	268
ANE/NE	Libya	670
ANE/NE	Morocco	608
ANE/NE	Near East Regional - DA	298
ANE/NE	Oman	272
ANE/NE	Qatar	274
ANE/NE	Saudi Arabia	273
ANE/NE	Syria	276
ANE/NE	Tunisia	664
ANE/NE	United Arab Emirates	281
ANE/NE	Yemen Arab Republic	279
BHR	American Schools and Hospitals Abroad	913
BHR	Food for Peace	904
BHR	Labor Affairs	907
ENI/EUR	Albania	
ENI/EUR	Austria	131
ENI/EUR	Belgium	132
ENI/EUR	Berlin, West	110
ENI/EUR	Bosnia and Hercegovina	
ENI/EUR	Bulgaria	183
ENI/EUR	Croatia	160

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Bureau	Country Name	Geocode
ENI/EUR	Cyprus	233
ENI/EUR	Czech Republic	192
ENI/EUR	Czech Republic	184
ENI/EUR	Denmark	136
ENI/EUR	Eastern Europe	180
ENI/EUR	Finland	137
ENI/EUR	France	138
ENI/EUR	Germany, Federal Republic	109
ENI/EUR	Great Britain	157
ENI/EUR	Hungary	185
ENI/EUR	Iceland	143
ENI/EUR	Ireland	144
ENI/EUR	Italy	145
ENI/EUR	Luxembourg	146
ENI/EUR	Macedonia	165
ENI/EUR	Malta	134
ENI/EUR	Netherlands	147
ENI/EUR	Norway	148
ENI/EUR	Poland	181
ENI/EUR	Portugal	150
ENI/EUR	Romania	186
ENI/EUR	Slovakia	193
ENI/EUR	Slovenia	166
ENI/EUR	Spain	152
ENI/EUR	Sweden	153
ENI/EUR	Switzerland	154
ENI/EUR	Turkey	277
ENI/EUR	Yugoslavia	158
ENI/NIS	Armenia	111
ENI/NIS	Armenian Earthquake	155
ENI/NIS	Azerbaijan	112
ENI/NIS	Byelarus	113
ENI/NIS	Estonia	161
ENI/NIS	Georgia	114
ENI/NIS	Kazakhstan	115
ENI/NIS	Kyrgyzstan	116
ENI/NIS	Latvia	162

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Bureau	Country Name	Geocode
ENI/NIS	Lithuania	163
ENI/NIS	Moldova	117
ENI/NIS	New Independent States	164
ENI/NIS	New Independent States	110
ENI/NIS	Russia	118
ENI/NIS	Tajiksistan	119
ENI/NIS	Turkmenistan	120
ENI/NIS	Ukraine	121
ENI/NIS	USSR	156
ENI/NIS	Uzbekistan	122
GPS	Country Financed Technical Services	922
GPS	Development Support	936
GPS	International Training	926
GPS	Population and Humanitarian Assistanc	932
GPS	Technical Assistance	931
GPS	Women in Development	906
GPS/PRE	Housing	912
GPS/PRE	Private and Development Cooperation	938
GPS/PRE	Private Enterprise	940
LAC	Andean Regional	595
LAC	Antigua	541
LAC	Argentina	510
LAC	Aruba	506
LAC	Bahamas	501
LAC	Barbados	534
LAC	Belize	505
LAC	Bermuda	502
LAC	Bolivia	511
LAC	Brazil	512
LAC	Canal Zone	000
LAC	Central America Regional	597
LAC	Chile	513
LAC	Colombia	514
LAC	Costa Rica	515
LAC	Cuba	516

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A.I.D. Geographic Codes and Country Names

Bureau	Country Name			Geocode
LAC	Dominica	542		
LAC	Dominican Republic	517		
LAC	Ecuador		518	
LAC	El Salvador		519	
LAC	French Guiana	591		
LAC	Grenada		543	
LAC	Guadeloupe	592		
LAC	Guatemala	520		
LAC	Guyana		504	
LAC	Haiti	521		
LAC	Honduras	522		
LAC	Jamaica	532		
LAC	Latin America Regional	598		
LAC	Martinique		593	
LAC	Mexico		523	
LAC	Montserrat		544	
LAC	Netherlands Antilles	507		
LAC	Nicaragua		524	
LAC	Other West Indies-Eastern Caribbean R		538	
LAC	Panama		525	
LAC	Paraguay		526	
LAC	Peru	527		
LAC	Puerto Rico	004		
LAC	Reg Office Cen America & Panama-ROCAP		596	
LAC	St. Christopher, Nevis, and Anguilla		545	
LAC	St. Lucia	546		
LAC	St. Vincent		547	
LAC	Suriname		508	
LAC	Trinidad and Tobago	533		
LAC	Uruguay		528	
LAC	Venezuela	529		
LAC	Virgin Islands		005	
LAC	West Indies	531		
MISC	AID Administrator	942		
MISC	Canada		703	
MISC	Engineering		925	
MISC	Interagency Development Coordination		900	

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A.I.D. Geographic Codes and Country Names

Bureau	Country Name	Geocode
MISC	International Narcotics Control	923
MISC	Public Safety	908
MISC	Special requirements	999
MISC	United States and District of Columbi	002
MISC	US	000
PPC	Intragovernmental & International Aff	933
PPC	Program and Policy Coordination	930

Appendix 3
USAID Project Document Types

10 Project Development
11 Feasibility Study
12 Market Survey
13 Pre-PID Document, Misc
14 Market Study
15 Proposal
16 Research Proposal
17 Assessment Surveys
18 Assessment and Social Marketing
19 Concept Paper
20 Core Project
21 PID
22 PID Revision
- PID Reviews
23 PID Approval Document
24 PRP, (Project Review Paper, Pre-1978)
25 PRP Revision
26 PP/PAAD/Project Memorandum
27 PP Amendment
28 Project Authorization
- Project Data Sheet
29 Project Auth. Amendment
- Pursuant to Authorization
30 Grant Agreement
- Grant Project Agreement
- Subproject
- Subgrant Agreement
31 Grant Agreement Amendment
32 Loan Agreement
33 Loan Agreement Amendment
34 Waiver, General
35 Core Off. Correspondence
- Congressional Notification (CN)
- Technical Notification (TN)
- Action Memorandum
- Memorandums to High Officials
- Memorandums to the Administrator
- Request for Procurement Waiver
- Patents

Appendix 3
USAID Project Document Types

- Advices
- Activity Data Sheet
- 3 year Planner under Work Plan
- Program Change
- Program Data Sheet
- Issue Paper
- Project Review Sheet
- Memorandum of Understanding / Conversation
- Annual / Multiyear Workplan
- Technical Memorandum
- Administrative Memorandum

36 Loan and Grant Agreement
37 Miscellaneous Agreements
- License Agreements
- Research Agreements
- Subordinate Agreements
- Letter of Agreement

40 Correspondence
41 Cable, Incoming
42 Cable, Outgoing
43 Correspondence, General
- ABS / Annual Budget Submission / CDSS
- Approved or Signed Correspondence
- Action Plan
- Letter of Transmittal
- Notice of Termination
- Guideline / Outlines
- Step-by-Step Procedures
- Capability Statement (background)
- AID Instructions for Technical Evaluation
- Fact Sheet
- Brief Summary
- Grant Application / Outlines
- Resume
- Briefings / Meetings

Appendix 3
USAID Project Document Types

44 Financing Request
- Federal Cash Transaction
- Invoices
- Vouchers
- Request for Travel Forms
- Strategy Statement
- Annual Budget
- Financial Status Report
- Reimbursement Agreement
- Line of Credit

45 Cables (Incoming and Outgoing Combined)

50 CP to Disbursement

51 Pre-Disbursement Condition
52 Implementation Letter
- Circular Letter

54 Technical Memorandum
55 Administrative Memorandum

60 Disbursing Authorization

61 PIO/T (Project Implementation Order/Technical)
62 PIO/C (Commodities)
63 PIO/P (Participants)
64 L/COM (Letter of Commitment)
65 Procurement Auth/Purchase Requisition
- Order for Supplies and Services

66 DRA/Dir Reimbursement Approval
67 Excess Property Ltr Order/Purchase Order
68 Procurement Plan

70 Contract/Contract Amendments

71 Contract
- Grant Contract
- Subcontracts
- Cooperative Agreements / Amendments
- Statement of Work

72 Contract Amendment

Appendix 3
USAID Project Document Types

73 IFB/RFP (Invitation for Bid / Request for Proposal)
- Winning Proposal (Best and Final)
- Unsolicited Proposal / OPG
- Request for Application
- Scope of Work
- Cost Proposal
- Cost Reimbursement
- Indirect Cost
- Cost for Approval
- Modification 1014
- Sub-Agreements

74 Response to Invitation
75 Awarded Invitation for Bid
76 Work Order
77 Task Order
78 Delivery Order
79 PASA/RSSA

80 Reports
81 Report, Research
82 Report, Progress
- Status
- Semi-Annual Report
- Quarterly
- Monthly
- Weekly

83 Report, Evaluation
- Project Evaluation Summary (PES)

84 Report, Audit
- Balance Sheets / Audits

85 Report, Final
86 Report, Implementation
87 Report, Trip
88 Report, End of Tour

Appendix 3
USAID Project Document Types

89 Report, Misc/NEC (Not Elsewhere Classified)
- Language Proficiency Report
- Special Study
- Assessment Financing
- Corporate Capability & Heading Overview
- IQC (Financial Report)
- Problem Implementation
- Functional Report
- Executive Summary
- Summary
- Discussion Paper
- Information Paper
- Life of Project Workplan
- Sub-Contracting
- Management and Reviews

Appendix 4
RIMS Batch File

```
@echo off
r                                   e                                   m
*****************************************************************
*******
rem *                                                                 *
rem *                    GENERAL                                      *
rem *                    =======                                      *
rem *                                                                 *
rem * This BAT file is designed to run on a stand-alone PC with a CD-ROM  *
rem * reader attached. The general assumptions are that the PC will have  *
rem * a minimum of 535K available RAM at the time RIMS is invoked.        *
rem * More is better. Any amount less than this might cause RIMS to       *
rem * fail. Read on for information concerning customization of the      *
rem * RIMS runtime environment.                                           *
rem *                                                                 *
rem * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
rem *                                                                 *
rem *                  RUN TIME PARAMETERS                            *
rem *                  ===================                            *
rem *                                                                 *
rem * It is possible to enter up to seven parameters that affect the run  *
rem * time environment. These parameters may be entered in any order.     *
rem * Please note that each parameter begins with a dash "-" and it must  *
rem * be present. Separate each parameter with a blank.                  *
rem *                                                                 *
rem * -e ........ use expanded (EMS) memory, if available                *
rem * -x ........ use extended (XMS) memory, if available                *
rem * -s ........ optimize operation of RIMS     for speed               *
rem *              default is to optimize for size (memory use)         *
rem * -m##### ... reserve ##### bytes base memory for database server    *
rem *              minimum amount = 20000; default amount = 100000      *
rem * -d????? ... drive/directory where temp files should be placed      *
rem *              default is active drive/directory                    *
rem * -i### ..... interrupt number (96 - 103)                            *
rem *              default is first available interrupt                 *
rem * -r##### ... record buffer size                                     *
rem *              default = 16384                                      *
rem *                                                                 *
rem * As a general rule, any or all of the above parameters may be used in  *
```

```
rem *  any combination.  However, depending on the memory management scheme
                                                                          *
rem *  in place on the equipment used to access this disc, conflicts might  *
rem *  occur with the use of the "-e" and/or the "-x" parameter.            *
rem *                                                                      *
rem *                                                                      *
rem *  ONLY USE THE ABOVE DEFINED PARAMETERS IF THE OPERATION
OF RIMS                                                                   *
rem *        IS UNACCEPTABLE OR IMPOSSIBLE IN THE DEFAULT STATE.
                                                                          *
rem *                                                                      *
rem * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
rem *                                                                      *
rem *              DOS ENVIRONMENT VARIABLES                               *
rem *              =========================                               *
rem *                                                                      *
rem *  Two DOS environment variables are set when executing this procedure.  *
rem *  They are:  set clipper=swappath:"c:\"                               *
rem *          set cddispath=\\                                            *
rem *                                                                      *
rem *  The first command ASSUMES that a hard drive designated as "C:"      *
rem *  exists in your computer and instructs RIMS to place temporary       *
rem *  files on this disk in the root directory.                           *
rem *                                                                      *
rem *  The second command ASSUMES that all data files required by RIMS     *
rem *  are located on the active drive, the drive from which RIMS is       *
rem *  started.  Please note that the slash is doubled and must be so.     *
rem *                                                                      *
rem *  Both of these variables are cleared by the procedure upon           *
rem *  termination.                                                        *
rem *                                                                      *
rem * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
rem *                                                                      *
rem *                NETWORK ACCESS                                        *
rem *                ==============                                        *
rem *                                                                      *
rem *  RIMS can run on a local area network (LAN).  Making RIMS            *
rem *  accessible on a LAN will likely require some modification to the    *
rem *  runtime environment.                                                *
rem *                                                                      *
rem * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
rem *                                                                      *
rem *            CUSTOMIZATION OF BAT FILE                                 *
rem *            =========================                                 *
```

```
rem *                                                                  *
rem *  It is possible to customize this BAT file, but it must first be  *
rem *  copied onto a "writable" disk drive.  If you wish to customize this  *
rem *  file and you do not have the services of someone who is familiar  *
rem *  with DOS, you may contact the developers for assistance.          *
rem *                                                                  *
rem*****************************************************************
rem *

type notice.dat
pause

:MENU
cls
rem  sets screen colors to BRIGHT WHITE ON BLUE if ANSI.sys present
ECHO [0;1;37;44m
cls
%1:sabir1.exe

type %1:welc.dat

:REPLY
%1:reply

if errorlevel 104 goto :REPLY
if errorlevel 103 goto :START
if errorlevel 100 goto :REPLY
if errorlevel  99 goto :FRONTEND
if errorlevel  72 goto :REPLY
if errorlevel  71 goto :START
if errorlevel  69 goto :REPLY
if errorlevel  68 goto :END
if errorlevel  67 goto :FRONTEND
goto :REPLY

:ROMWARE
cls
%1:sabir1.exe
%1:rw20 contract %2 %3 %4 %5 %6 %7
goto :MENU

:FRONTEND
set clipper=swappath:"c:\"
set cddispath=%1:\\
```

```
%1:rwstsr -m45000 %2 %3 %4 %5 %6 >nul
cdconbv3
%1:rwsterm >nul
set cddispath=
goto :END

:START
%1:scroltxt %1:h01.txt
goto :MENU

:END
cls
%1:sabir1.exe
type %1:lts.dat
```

If you wish to change to RIMS.BAT file, this will require an ASCII editor. Using a wordprocessing program which alters the format of this file *will not* produce the desired results. If you do not have a good ASCII text editor, EDLIN (part of DOS) will work. EDLIN is very cumbersome as it is a line editor. If you must use EDLIN, refer to your DOS manual and understand it thoroughly before starting.

Appendix 5
Files in RIMS CD Directory

The equivalent of these files should be on each RIMS CD.
Volume in drive E is CON_CD_7
Directory of E:\

File	Size	Date	Function
CDCONBV5 EXE	491620	12-28-93 1:53p	Front-end
CONFIG EXE	54056	02-15-93 10:57a	CD Configuration
CONTRACT BAT	7552	02-09-94 8:28a	Batch File
CONTRACT EDC	2094	02-09-94 1:19p	Database Dictionary
CONTRACT EDI	2279603	02-09-94 2:35p	Index-related
CONTRACT EDS	353448	02-09-94 1:19p	Record Pointers
CONTRACT EDT	26942270	02-09-94 1:19p	Loaded Data
CONTRACT EDX	7438336	02-09-94 2:35p	Index-related
CONTRACT LTF	958	09-23-93 10:47a	Contracts Load Format
DISC NO	16	02-09-94 2:43p	Contains RIMS CD number (issue)
H01 TXT	988	09-29-93 3:37p	Help: Getting Started, Cursor keys H06
TXT	1666	09-30-93 8:07a	Help: Search Options
H08 TXT	735	09-29-93 2:39p	Help: Country / Region
H12 TXT	937	09-30-93 7:54a	Help: Search by Geo / Program Area
H13 TXT	4885	07-09-93 11:28a	Help: Select a Region
H14 TXT	3700	07-09-93 11:27a	Help: Search by AID Bureau Cluster
H15 TXT	2342	07-09-93 11:29a	Help: Searching by Title
H16 TXT	1142	09-29-93 3:43p	Help: Searching by Project Number
H16_P1 TXT	1113	09-30-93 7:56a	Help: Searching by Geographic Code
H17 TXT	537	09-29-93 3:42p	Help: Searching by Date Signed
H19 TXT	824	09-30-93 8:09a	Help: Searching by DOCID
H20 TXT	968	09-30-93 7:50a	Help: Searching by Contractor
H21 TXT	863	09-29-93 4:17p	Help: Search by Contract Number
H23 TXT	365	09-30-93 7:51a	Help: Searching by Document Type
H24 TXT	2036	09-30-93 8:09a	Help: Display, Refine or Print
H25 TXT	4253	09-30-93 8:02a	Help: Narrow/Broaden/Exclude/UNDO
H27_R TXT	2144	09-30-93 9:26a	Help: Full Record Display
H28 TXT	1735	09-29-93 2:06p	Help: Printing / Downloading
H31 TXT	864	09-29-93 1:55p	Help: Output to Printer / Disk
HELP DBF	2162	09-29-93 4:39p	Help Message Pointers
HELP NTX	5120	09-29-93 4:39p	Help Message Pointer Index
IMAGES	<DIR>	03-03-94 8:37a	Directory Containing Image Files
LTS DAT	927	09-29-93 12:07p	Exit Screen / LTS Credits
REPLY COM	14	06-25-90 2:57p	Reply
ROMWARE CFG	370	07-01-93 12:30p	ROMWARE Configuration

```
RW20     EXE   367830 10-08-91  11:42a   ROMWARE
RWSTERM  EXE    15340 10-08-91  11:42a   ROMWARE TSR Termination
RWSTSR   EXE   122122 10-08-91  11:42a   ROMWARE TSR
SABIR1   EXE     3264 08-09-93   9:26a   Support Engine
SCROLTXT EXE    46400 01-08-93  12:44p   Getting Started
WELC     DAT     1941 02-09-94   2:43p   Text for Welcome Screen
    41 file(s)  38167540 bytes
```

Appendix 6

Example of Images Files in the directory of a RIMS CD.

Volume in drive I is IMAGE
Volume Serial Number is 8100-FB30
Directory of I:\CON_CD_7\IMAGES

DOCID	Page	FileSize	Scan Date	
PDFDK331	001	43187	01-31-94	6:12p
PDFDK331	002	44973	01-31-94	6:12p
PDFDK331	003	76589	01-31-94	6:12p
PDFDK332	001	80937	01-31-94	6:13p
PDFDK332	002	80739	01-31-94	6:13p
PDFDK333	001	74445	01-31-94	6:14p
PDFDK333	002	39691	01-31-94	6:14p
PDFDK333	003	76241	01-31-94	6:14p
PDFDK334	001	75545	01-31-94	6:15p
PDFDK334	002	39383	01-31-94	6:15p
PDFDK334	003	83639	01-31-94	6:15p
PDFDK335	001	44461	01-31-94	6:17p
PDFDK335	002	41135	01-31-94	6:17p
PDFDK335	003	51523	01-31-94	6:17p
PDFDK335	004	31283	01-31-94	6:17p
PDFDK335	005	8585	01-31-94	6:17p
PDFDK335	006	84923	01-31-94	6:17p
PDFDK336	001	43265	01-31-94	6:51p
PDFDK336	002	32807	01-31-94	6:51p
PDFDK336	003	14441	01-31-94	6:51p
PDFDK336	004	58983	01-31-94	6:51p
PDFDK336	005	56947	01-31-94	6:51p
PDFDK336	006	57549	01-31-94	6:51p
PDFDK336	007	61651	01-31-94	6:51p
PDFDK336	008	69591	01-31-94	6:51p
PDFDK336	009	57977	01-31-94	6:51p
PDFDK336	010	41881	01-31-94	6:51p
PDFDK336	011	51691	01-31-94	6:51p
PDFDK336	012	72201	01-31-94	6:51p
PDFDK336	013	14761	01-31-94	6:51p
PDFDK336	014	60469	01-31-94	6:51p
PDFDK336	015	54925	01-31-94	6:51p
PDFDK512	048	69869	01-28-94	2:02p
PDFDK512	049	65139	01-28-94	2:02p

PDFDK512 050	69759	01-28-94	2:02p
PDFDK512 051	64637	01-28-94	2:02p
PDFDK512 052	64757	01-28-94	2:02p
PDFDK512 053	64271	01-28-94	2:02p
PDFDK512 054	65343	01-28-94	2:02p
PDFDK512 055	72243	01-28-94	2:02p
PDFDK512 056	60609	01-28-94	2:02p

AFRBHITS.STREAMS

Creates correct hitfile to exclude records that haven't been scanned or fiched. Review the stream job to assure accuracy, but there should be no errors. Use BUROCD.PF print format to review. This is the order of the fields as they will appear on the CD.

```
!job afrbhits,harold.min;pri=es
!purge afr1
!purge afr1dd
!purge afrb
!purge afrbdd
!q
afrbrd
=isn 1/1000000
and not batch > 9309
 save afr1
 $
 =batch 9310
 and not box > 74
 or hitfile afr1
 save afrb
 exit
 !submit afrbsort
 !eoj
```

AFRBSORT.STREAMS

Sorts the records by country, project number, bibliographic type, title 2 (which contains instrument numbers - e.g. PIO/T's).

```
!job afrbsort,harold.min;pri=es
!purge afrbx
!purge afrbxdd
!in
afrbrd
hitfile=afrbhi
output=afrbx
key=cntry,length=40
field=a010,blank=yes
 end
 key=proj7,length=7
 field=a001
 end
 key=subprj,length=2
 field=a002
 end
 key=bcode,length=2
 field=a030
 end
 key=titl2,length=40
 field=a050
 end
 ***
 !submit afrbprnt
 !eoj
```

AFRBPRNT.STREAMS

Prints the "prepped" database records to disk so they can be transferred to tape.

```
1  !job afrbprnt,harold.min;inpri=1;pri=es
2  !purge afrbrd
3  !file outfl=afrbrd;dev=disc;disc=3000000,32;nocctl
4  !p
5  afrbrd
6  burocd.pf
7  hitfile=afrbx
8  end
9  !eoj
```

ASIAHITS.STREAMS

Creates correct hitfile to exclude records that haven't been scanned or fiched. Review the stream job to assure accuracy, but there should be no errors. Use BUROCD.PF print format to review. This is the order of the fields as they will appear on the CD.

```
!job asiahits,harold.min;pri=es
!purge asi1
!purge asi1dd
!purge asiahi
!purge asiahidd
!q
asiard
=isn 1/1000000
and not batch > 9305
 save asi1
 $
 =batch 9306
 and not box > 84
 or hitfile asi1
 save asiahi
 exit
 !submit asiasort
 !eoj
```

ASIASORT.STREAMS

Sorts the records by country, project number, bibliographic type, title 2 (which contains instrument numbers - e.g. PIO/T's).

```
!job asiasort,harold.min;pri=es
!purge asiax
!purge asiaxdd
!in
asiard
hitfile=asiahi
output=asiax
key=cntry,length=40
field=a010,blank=yes
 end
 key=proj7,length=7
 field=a001
 end
 key=subprj,length=2
 field=a002
 end
 key=bcode,length=2
 field=a030
 end
 key=titl2,length=40
 field=a050
 end
 ***
 !submit asiaprnt
 !eoj
```

ASIAPRNT.STREAMS

Prints the "prepped" database records to disk so they can be transferred to tape.

```
1  !job asiaprnt,harold.min;inpri=1;pri=es
2  !purge asiard
3  !file outfl=asiard;dev=disc;disc=3000000,32;nocctl
4  !p
5  asiard
6  burocd.pf
7  hitfile=asiax
8  end
9  !eoj
```

LACHITS.STREAMS

Creates correct hitfile to exclude records that haven't been scanned or fiched. Review the stream job to assure accuracy, but there should be no errors. Use BUROCD.PF print format to review. This is the order of the fields as they will appear on the CD.

```
1     !job lachits,harold.min;pri=es
2     !purge lac1
3     !purge lac1dd
4     !purge lachi
5     !purge lachidd
6     !q
7     lacrd
8     =isn 1/1000000
9     and not batch > 9209
10     save lac1
11     $
12     =batch 9210
13     and not box > 12
13.1   batch 9211 and box 11
13.2   or 2
14     or hitfile lac1
15     save lachi
16     exit
17     !submit lacsort
18     !eoj
```

LACSORT.STREAMS

Sorts the records by country, project number, bibliographic type, title 2 (which contains instrument numbers - e.g. PIO/T's).

```
!job lacsort,harold.min;pri=es
!purge lacx
!purge lacxdd
!in
lacrd
hitfile=lachi
output=lacx
key=cntry,length=40
field=a010,blank=yes
 end
 key=proj7,length=7
 field=a001
 end
 key=subprj,length=2
 field=a002
 end
 key=bcode,length=2
 field=a030
 end
 key=titl2,length=40
 field=a050
 end
 ***
 !submit lacprnt
 !eoj
```

LACPRNT.STREAMS

Prints the "prepped" database records to disk so they can be transferred to tape.

```
1  !job lacprnt,harold.min;inpri=1;pri=es
2  !purge lacrd
3  !file outfl=lacrd;dev=disc;disc=3000000,32;nocctl
4  !p
5  lacrd
6  burocd.pf
7  hitfile=lacx
8  end
9  !eoj
```

PRJSHITS.STREAMS

Creates correct hitfile to exclude records that haven't been scanned or fiched. Review the stream job to assure accuracy, but there should be no errors. Use BUROCD.PF print format to review. This is the order of the fields as they will appear on the CD.

```
!job prjshits,harold.min;pri=es
!purge xxx1
!purge xxx1dd
!purge prjs
!purge prjsdd
!q
prjsrd
=isn 1/1000000
and not batch > 9305
 save xxx1
 $
 =batch 9306
 and not box > 57
 or hitfile xxx1
 save prjs
 exit
 !submit prjssort
 !eoj
```

PRJSSORT.STREAMS

Sorts the records by country, project number, bibliographic type, title 2 (which contains instrument numbers - e.g. PIO/T's).

```
!job prjssort,harold.min;pri=es
!purge prjsx
!purge prjsxdd
!in
prjsrd
hitfile=prjs
output=prjsx
key=cntrac,length=21
field=a020,blank=yes
 end
 key=amend,length=20
 field=a040
 end
 key=wotodo,length=8
 field=a050
 end
 ***
 !submit prjsprnt
 !eoj
```

PRJSPRNT.STREAMS

Prints the "prepped" database records to disk so they can be transferred to tape.

```
1  !job prjsprnt,harold.min;inpri=1;pri=es
2  !purge prjsrd
3  !file outfl=prjsrd;dev=disc;disc=3000000,32;nocctl
4  !p
5  prjsrd
6  prjsprnt.pf
7  hitfile=prjsx
8  end
9  !eoj
```

```
1   !JOB CDFMTAPD,harold.MIN;INPRI=6
2   !COMMENT**********************************************
3   !COMMENT  This job runs the program that reformats data for RIMS
4   !COMMENT by removing and flagging control characters and adding a
5   !COMMENT carriage return at the end of the data on each line and
6   !COMMENT a line feed in column 70 (to allow proper spacing when
7   !COMMENT using tape to transfer the data to the PC).
8   !COMMENT     << re-formats APDMS data >>
9   !COMMENT ******************************************************
10  !purge prjsrd2
11  !BUILD prjsrd2;DEV=DISC;DISC=3000000;REC=-70,10,F,ASCII;NOCCTL
12  !FILE cddocs=prjsrd
13  !FILE cddocs2=prjsrd2
14  !RUN CRLFV01.ACCTPROG
15  DOCS
16  !EOJ
```

```
1   !JOB COPYAPDM,harold.MIN;INPRI=6
2   !COMMENT ****************************************************
3   !COMMENT  1. FCOPY DISC FILE TO AN ANSI LABELED TAPE
4   !COMMENT  2. CHANGE LINES 11 TO CORRECT FILE NAME AS NEEDED
5   !COMMENT  3. AT CONSOLE, RESPOND "REPLY nnn,8" where 8 is the
6   !COMMENT     ldev # for the tape drive, for the first tape and
7   !COMMENT     "REPLY nnn,vol.#" for other tapes if more than 1
8   !COMMENT     tape is needed for the file.
9   !COMMENT ****************************************************
10   !FILE T;DEV=8;LABEL=apdms;REC=-70,10,F,ASCII
11   !FCOPY FROM=prjsrd2;TO=*T
12   !EOJ
```

```
1   !job afrcheck,wilson.min;inpri=2;pri=es
2   !purge afr010
3   !purge afr010dd
4   !purge afr170
5   !purge afr170dd
6   !purge afr180
7   !purge afr180dd
8   !purge afr030
9   !purge afr030dd
10  !q
11  afrbrd
12  =aidgeo present
13  and cntry absent
14  save afr010
15  $
16  =cntry present
17  and aidgeo absent
18  save afr170
19  $
20  =bcode present
21  and bname absent
22  save afr180
23  $
24  =bname present
25  and bcode absent
26  save afr030
27  exit
28  !eoj
```

```
!job asicheck,wilson.min;inpri=2;pri=es
!purge asi010
!purge asi010dd
!purge asi170
!purge asi170dd
!purge asi180
!purge asi180dd
!purge asi030
!purge asi030dd
!q
asiard
=aidgeo present
and cntry absent
save asi010
$
=cntry present
and aidgeo absent
save asi170
$
=bcode present
and bname absent
save asi180
$
=bname present
and bcode absent
save asi030
exit
!eoj
```

```
!job laccheck,wilson.min;inpri=2;pri=es
!purge lac010
!purge lac010dd
!purge lac170
!purge lac170dd
!purge lac180
!purge lac180dd
!purge lac030
!purge lac030dd
!q
lacrd
=aidgeo present
and cntry absent
save lac010
$
=cntry present
and aidgeo absent
save lac170
$
=bcode present
and bname absent
save lac180
$
=bname present
and bcode absent
save lac030
exit
!eoj
```

```
1   !job prjcheck,wilson.min;inpri=2;pri=es
2   !purge prj010
3   !purge prj010dd
4   !purge prj170
5   !purge prj170dd
6   !purge prj180
7   !purge prj180dd
8   !purge prj030
9   !purge prj030dd
10  !q
11  prjsrd
12  =aidgeo present
13  and cntry absent
14  save prj010
15  $
16  =cntry present
17  and aidgeo absent
18  save prj170
19  $
20  =bcode present
21  and bname absent
22  save prj180
23  $
24  =bname present
25  and bcode absent
26  save prj030
27  exit
28  !eoj
```

```
!job sntcheck,wilson.min;inpri=2;pri=es
!purge snt010
!purge snt010dd
!purge snt170
!purge snt170dd
!purge snt180
!purge snt180dd
!purge snt030
!purge snt030dd
!q
sntrd
=aidgeo present
and cntry absent
save snt010
$
=cntry present
and aidgeo absent
save snt170
$
=bcode present
and bname absent
save snt180
$
=bname present
and bcode absent
save snt030
exit
!eoj
```

```
1   !job batchafr,scott.min;pri=es
2   !purge bafr
3   !purge bafrdd
4   !purge bafrx
5   !purge bafrxdd
6   !purge bafrc
7   !purge bafrcdd
8   !q
9   afrbrd
10   =batch 94@
11   save bafr
12   exit
13   !in
14   afrbrd
15   hitfile=bafr
16   output=bafrx
17   key=batch,length=4
18   field=batch
19   end
20   key=box,length=2
21   field=box
22   end
23   ***
24   !run compute.pub.minisis;lib=p
25   afrbrd
26   hitfile=bafrx
27   output=bafrc
28   break y020,y010
29   copy y010,y020
30   compute boxqty=sum y020
31   decimal 0
32   showcount yes
33   detail no
34   xeq
35   !file outfl;dev=30
36   !portrait
37   !p
38   afrbrd
39   batchchk.pf
40   hitfile=bafrc
41   end
42   !if cierror = 0 or cierror = 383 then
43   !set stdlist = delete
44   !eoj
```

```
1   !job batchasi,scott.min;pri=es
2   !purge basi
3   !purge basidd
4   !purge basix
5   !purge basixdd
6   !purge basic
7   !purge basicdd
8   !q
9   asiard
10   =batch 94@
11   save basi
12   exit
13   !in
14   asiard
15   hitfile=basi
16   output=basix
17   key=batch,length=4
18   field=batch
19   end
20   key=box,length=2
21   field=box
22   end
23   ***
24   !run compute.pub.minisis;lib=p
25   asiard
26   hitfile=basix
27   output=basic
28   break y020,y010
29   copy y010,y020
30   compute boxqty=sum y020
31   decimal 0
32   showcount yes
33   detail no
34   xeq
35   !file outfl;dev=30
36   !portrait
37   !p
38   asiard
39   batchchk.pf
40   hitfile=basic
41   end
42   !if cierror = 0 or cierror = 383 then
43   !set stdlist = delete
44   !eoj
```

```
1   !job batchlac,scott.min;pri=es
2   !purge blac
3   !purge blacdd
4   !purge blacx
5   !purge blacxdd
6   !purge blacc
7   !purge blaccdd
8   !q
9   lacrd
10   =batch 94@
11   save blac
12   exit
13   !in
14   lacrd
15   hitfile=blac
16   output=blacx
17   key=batch,length=4
18   field=batch
19   end
20   key=box,length=2
21   field=box
22   end
23   ***
24   !run compute.pub.minisis;lib=p
25   lacrd
26   hitfile=blacx
27   output=blacc
28   break y020,y010
29   copy y010,y020
30   compute boxqty=sum y020
31   decimal 0
32   showcount yes
33   detail no
34   xeq
35   !file outfl;dev=30
36   !portrait
37   !p
38   lacrd
39   batchchk.pf
40   hitfile=blacc
41   end
42   !if cierror = 0 or cierror = 383 then
43   !set stdlist = delete
44   !eoj
```

```
1   !job batchsnt,scott.min;pri=es
2   !purge bsnt
3   !purge bsntdd
4   !purge bsntx
5   !purge bsntxdd
6   !purge bsntc
7   !purge bsntcdd
8   !q
9   sntrd
10   =batch 94@
11   save bsnt
12   exit
13   !in
14   sntrd
15   hitfile=bsnt
16   output=bsntx
17   key=batch,length=4
18   field=batch
19   end
20   key=box,length=2
21   field=box
22   end
23   ***
24   !run compute.pub.minisis;lib=p
25   sntrd
26   hitfile=bsntx
27   output=bsntc
28   break y020,y010
29   copy y010,y020
30   compute boxqty=sum y020
31   decimal 0
32   showcount yes
33   detail no
34   xeq
35   !file outfl;dev=30
36   !portrait
37   !p
38   sntrd
39   batchchk.pf
40   hitfile=bsntc
41   end
42   !if cierror = 0 or cierror = 383 then
43   !set stdlist = delete
44   !eoj
```

```
1   !job batchprj,scott.min;pri=es
2   !purge bprj
3   !purge bprjdd
4   !purge bprjx
5   !purge bprjxdd
6   !purge bprjc
7   !purge bprjcdd
8   !q
9   prjsrd
10   =batch 94@
11   save bprj
12   exit
13   !in
14   prjsrd
15   hitfile=bprj
16   output=bprjx
17   key=batch,length=4
18   field=batch
19   end
20   key=box,length=2
21   field=box
22   end
23   ***
24   !run compute.pub.minisis;lib=p
25   prjsrd
26   hitfile=bprjx
27   output=bprjc
28   break y020,y010
29   copy y010,y020
30   compute boxqty=sum y020
31   decimal 0
32   showcount yes
33   detail no
34   xeq
35   !file outfl;dev=30
36   !portrait
37   !p
38   prjsrd
39   batchchk.pf
40   hitfile=bprjc
41   end
42   !if cierror = 0 or cierror = 383 then
43   !set stdlist = delete
44   !eoj
```

9 Records Management 1
9.3 Files Inventory 1

Section 3 - Files Inventory

9 Records Management

9.3 Files Inventory

The following section outlines an annotated workplan for executing files inventories to support the Agency's records management program. Implementation procedures mirror the plan, but may be changed / edited to fit the needs of the specific inventory site. The data collected from the files inventory process will be entered into an automated records management system. The procedures described below are those for doing a start-up inventory from scratch.

Workplan

1. Define purpose for records inventory.

The primary objective of the files inventory is to acquire information for completion of files plans for A.I.D./Washington as required by Handbook 21, Part II. Each file corresponds to a records series used for retention and disposition purposes. The correct series assignment can only be made with accurate, standardized filing practices. The inventory can and will assist in assigning these series numbers. Completed files plans provide the foundation for effective control over the Agency's records during their lifecycle. Such control will enable retention scheduling and disposition action.

The secondary objective is provide a rudimentary files inventory and information for improving filing practices (i.e. labelling and disposition). This includes evaluation of existing records management labelling practices. A consequence will be defining and implementing an accurate file labelling system covering all media. The establishment and maintenance of inventories is standard practice in the management of most resources. The value of a record can only be realized if it's retrievable. The first step in retrieving the record and putting to use is to determine its location.

The teriary objective is to provide a rudimentary files locator system. The inventory will tell you what you've got, where it is, and how long to keep it.

2. Design Data Collection Form

Data collection consists of designing a simple, one-page form to capture the essential data for manual entry of label information into a database system. The data collection form include fields defined below.

a. Define required fields
   (1) Date
   (2) Office Symbol
   (3) Physical location (room number)
   (4) Filing cabinet property tage (AID Tage or barcode number). Or if ID tag is not available, cabinet number in sequence, counterclockwise (left to right) from door.
   (5) Drawer number
   (6) File sequence in drawer
   (7) File label information
      (a) Project number
      (b) Country
      (c) Project title
      (d) Sub-project / activity title / name
      (e) Fiscal year / file dates
      (f) Subject heading
      (g) Document type within file
      (h) Instrument number - grant/PIL/PIO/contract
      (i) Media type
      (j) Security classification
      (k) Estimated volume
   (8) Box number for files within boxes
      (a) Assing temporary, working box id until box accession list (lot number) is received from the records center or M/AS/ISS/RM. Box number to go in the upper right hand corner of one end of the box.
   (9) File sequence within box.

b. Get approval and authorization for use of form.
c. Establish database structure corresponding to fields on the data collection form (linked to Step 10 below).

The major portion of the file label information field should be left as a generic, unspecified filed to enable capture of all label information regardless of format. This allows for capture of information in multiple, non-standardized label formats rather than trying to predefine specific points of identification which may or may not be consistent throughout the filing system.

3. Obtain Support Materials
   a. Listing (Map) of Offices - Organization Symbol and Room Number
      (1) Possible ways to get a listing: AIDRD, AID Email directory, or RAMPS list.
      (2) Floorplans from M/AS/ISS/RM as required.
   b. Functional statements for the offices.
   c. Listing of electronic tracking systems, LAN Directory structures, LAN files
   d. IRM's "Green Book" listing Agency-wide databases

e. Property listing sorted alphabetically by location of records management filing equipment, specifically filing cabinets.

4. Prepare Briefing Materials for Office Directors
   a. Reationale - purpose / goals / objectives / tasks
   b. Procedures, forms, staffing, support for doing the inventory
   c. Inventory analysis and potential system outputs and their availability.

5. Schedule Briefing with Office Directors (at Staff Meetings)
   a. M/AS/ISS/RM to arrange
   b. Approval of performing inventory by office directors

6. Hold Briefing and get Approvals

7. Schedule Actual Inventory Activity in Specific Offices
   a. Existing/former RIMS/APDMS Participants
      (1) Do inventory of RIMS backlog in cental files (those that have been or would have been formatted for filming or scanning).
      (2) Expand activity to other offices and file stations within the bureau.
   b. Other bureaus and offices
      (1) Cooperative bureaus and offices
      (2) Uncooperative bureaus and offices

8. Perform Data Collection for Records Inventory

Completion of the data collection form should involve going cabinet to cabinet, opening a drawer, and starting from the front of the cabinet, writing down the file label information for each file within the drawer. The file information entered on the form will be done sequentially, file by file, as they appear in the drawer.

Only open, unlocked cabinets are to be inventoried.

   a. Determine estimated resource and time requirements to perform inventory.
   b. Compile completed data sheets
      (1) Accumulate onsite in batches
      (2) Transfer to DISC for data entry
   c. Evaluate adequacy of procedures and support requirements for performing the records inventory.

9. Identify and Select Preliminary Database Software and Hardware Platform
   a. MINISIS and the HP
   b. PC/LAN-based database package
   c. Evaluate Agency's long-term distributed processing database software selection (ORACLE) for the records inventory application.

d. Use an integrated package such as PERFORM, link dataa entry forms and reports with data sources (such as database files).

e. Establish linkages with Agency EIS Magellan system.

10. Create Database Structure, Data Entry Screens and Report(s)

a. Define required fields

(1) Date

(2) Office Symbol

(3) Physical location (room number)

(4) Filing cabinet property tage (AID Tage or barcode number). Or if ID tag is not available, cabinet number in sequence, counterclockwise (left to right) from door.

(5) Drawer number

(6) File sequence in drawer

(7) File label information

(a) Project number

(b) Country

(c) Project title

(d) Sub-project / activity title / name

(e) Fiscal year / file dates

(f) Subject heading

(g) Document type within file

(h) Instrument number - grant/PIL/PIO/contract

(i) Media type

(j) Security classification

(k) Estimated volume

(8) Box number for files within boxes

(a) Assing temporary, working box id until box accession list (lot number) is received from the records center or M/AS/ISS/RM. Box number to go in the upper right hand corner of one end of the box.

(9) File sequence within box.

b. Get approval and authorization for use.

c. Create collateral "related" databases

(1) Item code information (records series) from HB21, Part II, disposition instructions, and retention information.

(a) Item Number

(b) Chapter/Section Title

(c) Group

(d) Description of Records

(e) Authorized Disposition

(i) Cut off

(ii) Transfer Date / destination

(iii) Destroy Date

(iv) Destroy Method

(f) Cross-reference

(2) Subject file decoded information (subject code, subject title and explanation)

(a) Item number

(b) Instructions

(c) Subject Code

(d) File Classification

(e) Description of Records

(3) Document types - contains information about specific instruments used within AID to conduct its business.

(a) Item Number

(b) Bibliographic Type

(c) Bibliographic Name

(d) Functional Group/Source

(e) Workflow Stage

(4) Bibliographic Information at Document Level

(a) Document Title

(b) Document Author

(c) Document Type

(d) Document Date

(e) Instrument Number

(f) Contract/Grant Number

(g) Contractor Name

(h) Project Number

(i) Project Title

(j) Country

11. Perform Data Entry of Raw Data Collected

a. Data entry clerk enters data from compiled, raw data sheets. This activity is similar to creating a record for imaged documents, although the content is somewhat different.

b. Perform quality control to verify that the information entered corresponds to that recorded on the data collection form. Correct any errors.

c. Draw a line diagonally across a data sheet once it's been data entered.

d. File the original data collection forms in a box and keep at the DISC.

e. Make a backup of the database.

12. Assign Record Series and Disposition Information for Database Records.

a. Use office functional statement to focus series identification within HB21.

b. DISC personnel will look up appropriate series and enter it into the record; unless it has been automated by the system.

13. Analyze the Records Inventory

a. Generate outputs as required, including the files plan, AID Form 520.

b. File label content evaluation - how close to HB21 guidelines
c. Identify duplicates and multiple locations of same file
d. Identify location and content of official file.
e. Crate report with following format:
   (1) Executive summary
   (2) Statement of purpose
   (3) Statement of methodology
   (4) Data collection summary
   (5) Data entry information
   (6) Data Analysis
      (a) Quantitative with tables - show office, cabinet, drawer distribution and the number of files / documents in each; volume by security classification; volume by media type.
      (b) Qualitative - file label condition; label standardizes; compliance with HB21 requirements; organizational culture; M/AS/ISS/RM training and support availability; client-analyst relationship
   (7) Reports
   (8) Conclusions and recommendations

14. Establish Federal Records Center Liaison - Receipt/Delivery Procedures
   a. Identify and quantify materials within the inventory which fall into retention schedules calling for their removal offsite.
   b. Coordinate with M/AS/ISS/RM. Based on the inventory, tell them the estimated volume of material to be transferred. Request that they obtain/supply/provide the official archive boxes for packing the material. Based on intitial inventories, gauge box inventory levels for planning procurement of boxes so they are available when needed.
   c. Establish contacts with FRC/WNRC and negotiate a working arrangement assuring 24 hour turnaround for doucments requested, if the occasion arises. Document the procedures involved and formalize them in a procedures manual. Provide copies of the procedures manual to both the records center location and the records management office.
   d. Logistics Support: Provide a supply of archive boxes for boxing materials within the bureaus
   e. Transfer from office to vault to WNRC, or whatever the current arrangement is.

15. Draft Procedures Manual for Records Inventory Procedures

16. Organize Bureau / Office Files
   a. Format the files. Formatting guidelines are to be clearly spelled out and a quality control mechanism established to verify file content and labelling. M/AS/ISS/RM should be called upon to insert a more comprehensive case file document classification (bibtype) chart into HB21.
   b. Use color-coded file folders in addition to file labes to assure filing integrity. The

color coding system may correspond to the fiche file labelling colors grouped by document type.

c. Boxing and filing

d. Transferring to records center

17. Establish Central C&R Centers within the Bureaus

a. Define workflow for files within each administrative unit requiring them.

b. Define workflow for central accumulation of satellite filing systems.

c. Define technical requirements for building automated records/document/file management system.

d. Define technical requirements for managing electronic records/documents/files.

18. Support Central C&R Centers within Bureaus

a. Provide ongoing support of the bureau's central files.

(1) Update the inventory on a regular basis, accounting for changes and additions to the files.

(2) Do the actual filing within the central files for the bureaus. Develop regular procedures for accumulating documents in central accumulation points within individual offices. Have the accumulations picked up by personnel and taken to the central files site. Have staff at central files do formatting and filing as appropriate.

b. Link the central files workflow to an optical storage subsystem.

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10 User Audiences and Mailing List Maintenance

Two databases are used to maintain mailing lists of names and addresses. The REQUESTR database includes users of AID/DISC services (see Section 10.1 below) and ARDA subscribers; RECIPRD includes bulk distribution addresses for CDIE publications, ARDA, Population, and Acquisition list distribution (see Section 10.2 below).

Section 13 on Document Distribution Unit includes complete documentation on entry into the REQUESTR database and user services fulfillment operations.

10.1 REQUESTR Database

10.1.1 Identification/Categorization

Names and addresses of users of AID/DISC services are maintained in the REQUESTR database. This database includes the following sections:

*ARDA recipients (paid subscriptions only)
*Users of AID/DISC document fulfillment services

Addresses are coded with the information provided on questionnaires sent by DI to interested recipients.

10.1.2 LISTID codes

All users in REQUESTR are assigned a LISTID code as shown in Exhibit 10-1

Exhibit 10-1

LISTID CODES

LISTID	REQUESTOR TYPE
001	LDC (Less Developed Country)
002	US AID (General)
003	US AID Missions
004	US AID Washington
005	Peace Corps
010	Land Grant Library
014	US Institution
015	International Organization
017	Developed Country Overseas
020	Gifts & Exchanges
021	ICA (formerly USIA)
099	Voluntary Organization
120	Population Documents Only
150	Requestor

**********The following section moved from RECIPRD OPSMN**********

This list may be more accurate than the one above.

Old REQUESTR Organization Types

****Use this list with the RECIPRD Code list for specific Organizational breakdown; the REQUESTR codes are too general for one-to-one code correspondence****

Old REQUESTR Code	RECIPRD Code
001 (LDC)	**031 039**
003 (USAIDS)	**021 022 023 024 025 026 027 028 029**
004 (AID/W)	**011 012 013 019**
008 (AID Contractor)	**019**
017 (Developed Country)	**051 059**
019 (Development Organization)	
PVO	**060**
Peace Corps	**101 102 103**
130 (US Gov't)	**120**
140 (US Educational Inst.)	**081 082**

160 (US Business)	**130**
170 (US Individual)	**140**

10.1.3 POL/CDIE Information Disclosure Policy & Procedure

This section is extracted from a memo of February 27, 1984 (Lee White to Jim Booth) detailing information disclosure policy and procedure:

Exhibit 10-2 illustrates in table form by user type versus document type, POL/CDIE's policy regarding release of information to its user community. While not all of the categories of documents are available through the AID-DISC, and the user community served by the facility is a subset of those listed, it is important that the Document Distribution Unit adhere to this policy in dealing with document requests received and processed.

Exhibit 10-2

DOCUMENT DISTRIBUTION BY USER CATEGORY

	AID Employees	AID Contractors	LDC Inst.	LDC Indiv.
Project Design Documents (PPs, Proposals, etc.)	Yes	DI/Cont	No	No
Evaluations (PARs, PESs, etc)	Yes	DI/Cont	No	No
PPC/E Published Evaluations	Yes	Yes	Yes	Yes
Audits (Project&General)	Yes	DI/Cont	No	No
Contractor Audits/Proposals/ Evals	Yes	DI/Cont	No	No
ABSs/CDSSs Unclassified-Current	Yes	DI/Cont	No	No
ABSs/CDSSs	Yes	Yes	No	No

Unclassified-Past				
AID Tech Reports (Non-Proprietary)	Yes	Yes	Yes	Yes
AID Tech Reports (Proprietary)	Yes	DI/Cont	No	No
Non-AID Reports (Restricted)	Yes	DI/Cont	DI/Ref	DI/Ref
Non-AID Reports (Non-restricted)	Yes	Yes	DI/Ref	DI/Ref

DI/Cont - DI contacts contract's "backstop officer"
DI/Ref - DI Refers Requestor to Source

10.1.4 User needs/Requirements

At this time, no system is in place to analyze these needs.

10.1.5 Authorizations/Approvals for Inclusion in the System

Requests for free distribution of ARDA are approved by POL/CDIE (Margaret Pope). Other requesters are sent an ARDA subscription form and are included in the REQUESTR database when payment is received.

10.1.6 List Maintenance

Address corrections are made to the databases on a regular basis. If mail is returned as undelieverable, the address is deleted. Mailing list corrections received are routinely made. In addition, a regular questionnaire is sent to the entire ARDA mailing list with a section requesting address corrections. These corrections are made as the questionnaires are received by the DISC.

ARDA issues which are returned to sender are automatically deleted
from the mailing list.

10.1.7 Profile Analysis/Updating

There is no system in place at this time. However, an initiative is underway to link the AID RAMPS list with RECIPRD, from which demographic reports can be generated.

10.1.8 Reporting

Updates, additions, and deletions to the REQUESTR database are reported in Jim Booth's monthly Management Report to Lee White. Statistics are compiled from the system for additions and updates.

Statistics for deletions are maintained manually.

10.2 RECIPRD DATABASE

RECIPRD database is used to generate mailing labels for free bulk distribution of publications.

General Guidelines:

1) Enter all upper case
2) Abbreviate as little as possible
3) Use only standard abbreviations
4) Enter personal names only in Recipient name (U170) field.

5) Do not enter titles, such as DR, MR, MS, MRS, etc.
6) Use as little punctuation as possible.

10.2.1 RECIPRD Data Entry Guidelines by Field

M210 A.I.D. POSITION NUMBER . . . . . POSNUM
Non-repeating, maximum length 9. A.I.D. position number of direct hires.

N100 NOTE . . . . . NOTE
Repeating, maximum length 50. Use for miscellaneous data.

R300 ORGANIZATION ROUTING 1 . . . . . ROUTE1
R400 ORGANIZATION ROUTING 2 . . . . . ROUTE2
R500 ORGANIZATION ROUTING 3 . . . . . ROUTE3
Maximum length, 8.

Enter Bureau symbols up to three levels. Example: POL/CDIE/DI

R300	POL
R400	CDIE
R500	DI

R510 ORGANIZATION TYPE . . . . . TYPOR
Non-repeating, maximum length 3. A code is assigned to the organization to distinguish type. Select code from the list below.

RECIPRD Organizational Type Codes

Organization Type	Code
AID Washington	
AID/W Bureau	011
AID/W Office	012
AID/W Division	013
Other AID	019
USAIDS	
Acquisitions Contact	020
Economic Office	021
Mission Directorate	022
Program Development Officer (PDO)	023
Regional Development Officer (RDO)	024
TIC (Technical Info Center/Library)	025
Mission Evaluation Officer	026
Health/Population Officer	027
WID Officers	028
Other USAID	029
Lesser Developed Countries	
Governmental Unit	031
Other LDC	039
International Development Organizations	
UN-Related	041
development Assistance Committee(DAC)	042
Asian Reg Econ Conference	043
Foreign Embassies	045
Other IDO	049
Developed Country Institution	
Governmental Unit	051
Other	059
PVO (Private/Voluntary Organizations)	060
US State Department	
Embassy	071
Washington DC Office	072
Educational Institution	
Department	081
Library	082
US Congress	
Member	091
Committee	092
Other Congress	099
Peace Corps	
Information Center	101
Overseas Post/Office	102
Washington DC Office	103
USIS Libraries	110
US Government	
US Government Office	120
Office of Management & Budget	121
Commercial Firm/Consultant/Contractor	130
Private Individual	140
Other	
CD/DIS Marketing Organizations	201
ABIC Journal Editor List	202
ABIC African Business Roundtable	203
ABIC Think Tanks	204
ABIC SPA Attendees	205
ABIC Education	206

R530 GEO AREAS OF INTEREST . . . . . GEOIN
Repeating field, code length 6

Select from codes below:

Geo Area of Interest	Proposed Code
Africa (all)	10
Anglophone Africa	11
Central Africa	12
East Africa	13
Francophone Africa	14
North Africa	15
South Africa	16
West Africa	17
Asia (all)	20
Far East	21
Near East	22
South Asia	23
Southeast Asia	24
Latin America (all)	30
Central America & Caribbean	31
South America	32
Oceania (all)	40
Worldwide	50
Eastern Europe/New Indep States	60

R540 SUBJ AREAS OF INTEREST . . . . . SUBIN
Repeating, maximum length 12.

Select from subject codes listed below:

Subject Areas of Interest	Code
Agriculture & Rural Development	0100
Animal Husbandry	0110
Agricultural Engineering	0120
Agricultural Enterprises	0130
Farming Systems	0131
Agricultural Economics	0132
Aquaculture	0140
Plant Pathology & Protection	0150
Plant Production & Breeding	0160
Cereal Crops	0161
Sugar/Starch Crops	0162
Oil Crops	0163
Fiber Crops	0164
Fruit Crops	0165
Vegetable Crops	0166
Pasture/Feed Crops	0167
Soil Sciences & Fertilizers	0170
Culture	0200
Communications	0300
Development Administration	0400
Development Project Planning	0410
Project Design	0411
Project Implementation/Mgt	0412
Project Evaluation	0413
Institution Building	0420
Legislation	0430
Local Participation, Volunteerism	0440
Organization Theory	0450
Planning & Budgeting	0460
Technical Assistance Methodology	0470
Democratic Initiatives (4/92)	0480
Economics	0500
Business Administration	0510
Cooperatives	0511
Credit	0512

Subject Areas of Interest	Code
Marketing	0513
Small Business	0514
Employment	0515
Planning	0520
Country	0521
Regional	0522
Sectoral	0523
Productivity	0530
Resource Allocation/Transfer	0540
Statistical Analysis	0550
Taxation	0560
Education	0600
Curriculum Development	0610
Educational Administration	0620
Educational Technology	0630
Formal Education	0640
Pre-School/Elementary	0641
Secondary	0642
Higher/Professional	0643
Technical/Vocational	0644
Teacher Education	0650
Energy & Natural Resources	0700
Forestry	0710
Water Resources & Management	0720
Environment	0800
Health and Nutrition	0900
Disease Prevention/Control	0910
Health Care Delivery Systems	0920
Health Planning	0930
Population & Family Planning	0940
Nutrition	0960
Housing & Urban Development	1000
Industry	1100
Information Resources	1200
Research Utilization	1300
Technology Transfer	1400
Transportation	1500
Women in Development	1600

R600 DATE ENTERED (++1 FOR TODAY) . . . . . DATEN
Non-repeating. Date format: YYYY-MM-DD or 1988-09-20

R700 LAST DATE MODIFIED (++1 FOR TODAY) . . . . . DATEM
Non-repeating. Enter new date each time the data is modified. Format: YYYY-MM-DD or 1988-09-20.

S010 ADDRESS LINE 1 . . . . . ADDR1
S020 ADDRESS LINE 2 . . . . . ADDR2
S030 ADDRESS LINE 3 . . . . . ADDR3
S040 ADDRESS LINE 4 . . . . . ADDR4
S050 ADDRESS LINE 5 . . . . . ADDR5

Non-repeating, maximum length 35. Enter address lines as needed, up to 5. Do not enter city, state or country data on these lines. Personal names go in field U170 (Recipient Name).

S060 CITY . . . . . CITY
Non-repeating, maximum length 20.

S070 STATE ABBREVIATION . . . . . STATE
Non-repeating, maximum length 2. Enter standard 2-letter uppercase abbreviation for U.S. States.

S080 ZIP CODE . . . . . ZIP
Non-repeating, maximum length 10. Enter zip code, with extension if available.

S090 COUNTRY NAME . . . . . CNTRY
Non-repeating, maximum length 35.

S100 COUNTRY CODE . . . . . GEOCD
Maximum field length, 3. Codes represent country of addressee and are selected from A.I.D.'s geographical code list. See Code book (Annex 1).

S200 TELEPHONE NUMBER . . . . . PHONE
Maximum field length, 20. Telephone number of addressee, if available. Include country codes and area codes.

S300 FAX NUMBER . . . . . FAX
Maximum field length, 20. Fax number of addressee, if available.

T100 ACQUISITIONS TRACKING FIELDS (added July 10, 1992) . . . . . ACQ

Maximum field length, 2. Inverted for fast access.
Y is entered only for Acquisitions Tracking Addresses

T200 ACQUISITIONS CONTACT NAME . . . . . ANAME

Maximum field length, 35
Enter name. Example: FRANK MARTIN

T300 ACQUISITIONS CONTACT E-MAIL ADDRESS . . . . . EMAIL

Maximum field length, 20
Enter E-mail address, if known.

T400 DATE CONTACT NAME MODIFIED . . . . . ADATE

Maximum field length, 10
Date of last update to Mission contact

T500 ACQUISITIONS NOTES . . . . . ANOTES

Maximum field length, 50. Repeatable.
Enter any extraneous information needed.

U100 PUBLICATION CODES . . . . . APUB

Repeating field, maximum length per code is 4. Select from list below:

ARDA	A
ABIC (African Voices) Newsletter	B (10/92)
ARTS Abstracts	B1 (1/93)
DFA (Dev Fund Afr) Brochure	B2 (1/93)
NAFEO	B3 (1/93)
CD/DIS Promotional Addresses	X (4/92)
Compendium of Evaluation Findings	D (5/94)
Evaluation Catalog & Update	C (4/92)
Evaluation Other Unspecified	O (4/92)
Evaluation Highlights	K (4/92)
Evaluation News	E
Innovative Development Approaches	I (4/92) disc
Managing for Results Working Papers	M (5/94)
Methodology Series (Eval)	V (4/92)
New Acquisitions (TD)	T
New Acquisitions (PD)	J
New Acquisitions - Evaluations (EV)	Y
New This Month (Library Acquisitions)	L (11/89)
Population Materials	P1
Population Materials	P2
Population Materials	P3
Program Assessments (Eval)	N
Senior Managers Bulletin (9/90)	ES
Research & Reference Bulletin	R
Special Studies	S (4/92) disc
Thesaurus	H
Special Use (to identify USAIDs w/o DICs)	ZZ (12/15/89)
Women in Development (Newsletter)	W (5/90)
WID Priority (Congress)	W1 (4/92)
WID Managers WID Buy-Ins	W2 (4/92)
WID Coalition	W3 (4/92)
Committee Members by Region	W4 (4/92)
Latin America	W4.1
R&D	W4.2
Asia	W4.3
Africa	W4.4
Near East	W4.5
PRE Bureaus	W4.6 (3/93)
WID/CDIE Evaluations	W5 (1/93)

(Revised May 1994)

U150 ARDA NO OF COPIES . . . . . ACOPY
Non-repeating, maximum length 12. Indicate number of ARDA copies to be received by addressee (only enter if more than 1).

U160 MODE OF DISTRIBUTION . . . . . DMODE
Non-repeating, maximum length 1. Indicate either D (Domestic) or F (Foreign).

U170 RECIP NAME . . . . . RNAME
Non-repeating, maximum length 35. Recipient names or personal names are entered here.

U250 THES NO OF COPIES . . . . . THCOPY
Non-repeating, maximum length 12. Incidate number of Thesaurus copies to be sent.

U350 EVAL NO OF COPIES . . . . . ECOPY
Non-repeating, maximum length 12. Field indicates number of copies of CDIE publications are sent to addressee. Field used for bulk distribution of CDIE Series.

U450 POP NO OF COPIES . . . . . PCOPY
Non-repeating, maximum length 12. Field indicates number of copies received of Population Journal distribution. Usually only a single copy is sent.

U550 OCC PAP NO OF COPIES . . . . . OCOPY
Non-repeating, maximum length 12. Field not used. Occasional Papers are a subset of APUB/U100 Code E. Copies are same as ECOPY.

U650 R&D NO OF COPIES . . . . . SCOPY
Non-repeating, maximum length 12. Not currently used.

U750 NEW ACQUIS (PD) NO OF COPIES . . . . . NPCOPY
Non-repeating, maximum length 12. Number of copies for bi-monthly distribution of "New Acquisitions Project Descriptions," i.e. PD documents (project papers, etc.)

U850 NEW ACQUIS (TR) NO OF COPIES . . . . . NTCOPY
Non-repeating, maximum length 12. Number of copies for monthly distribution of "New Acquisitions Technical Documents," i.e. the PN documents.

U950 NEW ACQUIS (EV) NO OFCOPIES . . . . . NVCOPY
Non-repeating, maximum length 12. Number of copies for bi-monthly distribution of "New Acquisitions Evaluation Documents," issued 6 times per year.

10.3 AIDRD Database

The AIDRD Database is updated in quarterly intervals by downloading from the AID Personnel System, called the RAMPS database. Any coding should be maintained in RECIPRD. Future possible links by way of POSITION NUMBER in RECIPRD are being explored (7/92). DISC does no data entry into AIDRD. It is batch loaded.

EMPLOYEE NAME M100
Field length 50
NAME

e.g. BROWN MAURY
BLACKTON JOHN S

POSITION NUMBER CODES M200
Field length 9, Subfielded POSCOD

LOCATION CODE M201
Field length 1 LOCCDE

1 = AID/W
2 = USAID

BUREAU CODE M202
Field length 1 BURCDE

AID GEO CODE M203
Field length 3 GEOCDE

POSITION CODE M204
Field length 4 POSCDE

POSITION NUMBER M210
Field length 9 M204

OCCUPATIONAL SPECIALTY CODE M300
Field length 6 OCCCDE

POSITION TITLE M400
Field length 20 POSTIL

BACKSTOP CODE M500
Field length 2 BACCDE

01	Mission Directors, Deputies & Compparable Executive Levels
02	Program Analysis
03	Administrative Management
04	Financial Management
05	Secretarial Support
06	General Services
07	Administrative Support
08	Audit & Inspection
10	Agriculture
11	Economics
12	Program Management
14	Rural Development
15	Food for Peace
20	Housing, Urban & Community Development
21	Business, Industry & Private Enterprise
25	Engineering
30	Natural resources & Energy Management
50	Health Science, Medical & Population
60	Human Resources, Education & Participant Training
72	Social Services
75	Physics & Social Science
85	Legal
92	Commodity Management (Procurement)
93	Contract Management
94	Project Development
95	International Development Intern
99	Printers/Drivers

BACKSTOP NAME M600
Field length 40 BACNAM

BUREAU NAME Q100
Field length 20 BURNAM

ADDRESS (OFFICE SYMBOL) Q200
Field length 50 ADDRES

CITY Q300
Field length 20 CITY

STATE/TERRITORY Q400
Field length 2 STATE

Enter standard 2-letter uppercase abbreviation for U.S. States.

ZIP CODE Q500
Field length 10 ZIPCDE

Enter zip code, with extension if available.

MAILING INSTRUCTIONS Q600
Field length 32 MAILIN

SUPERVISORY POSITION Q990
Field length 1

SUPVSR

Decode values

1	Supervisor
3	Manager
4	Supervisor (CSRA)
5	Management Official (CSRA)
6	Leader
8	All Other Positions

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11 Micropublishing

11.1 Fiche duplicating

Ten diazo copies for each PN document and 6 diazo copies for each PD document are created at DIHF after the filming process has been completed. Two sets of PD's and PN's are filed at DIHF in DOCID order.

Fiche copies (diazos) are made for distribution to users (ondemand) and for standing order requests. The standing order requests are filled monthly. At this time, any updated (corrected) microfiche are also sent.

11.2 Paper copy reproduction

Blowbacks from fiche are produced on demand at the DISC. Blowbacks are now done from the diazo copies of fiche whenever possible at it has been found that these produce clearer paper copies. When diazo copies are depleted, new duplicates are made from the master copy.

Due to the wide variation in the quality of documents which were filmed in the past, blowbacks of many documents are of extremely poor quality. It is now the procedure to make every effort to locate the original copies of documents and to refilm them if the original is poor DIHF staff xerox copies to fulfill requests as the Xerox copies tend to be better than blowbacks in these cases. Original copies are pulled from the "W" boxes in Elkridge when possible and are requested from AID staff when it is not possible. Notes recording these steps are entered onto DOCRD in order for the availability of such documents to be closely tracked.

11.3 Statistics/reporting

Statistics are provided DISC management on the total number of blowback requests for X number of documents, totalling X number of pages (the number of frames per document times the number of copies of the document produced). Copies made on the Xerox 8200 from fiche blowbacks are included in this page total. Similarly, statistics are provided on a weekly basis for the number of fiche dupe requests fulfilled the preceeding week, the total number of documents requested in fiche format, and the total number of fiche this represents (number of documents sent out in fiche format times the number of fiche per document). These statistics are presently collected manually from the hand written internal request forms.

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12 Database Publishing

The DISC produces a number of publications to disseminate DIS information resources. For example, A.I.D. Research and Development Abstracts, a collection of abstracts of recent Agency funded research documentation, appears on a quarterly basis. New Acquisitions Lists, such as the monthly Technical Reports list, the quarterly Evaluation Reports and the bi-monthly Project Description lists, help keep users informed about the most recent documents added to the system. While the Evaluation and Technical Reports lists simply provide full citations for new entries, the Project Description list provides includes abstracts of recently received design documents for active or planned projects. Other DISC publications include the Development Information Center Manual, the Minisis MiniManual, and the A.I.D. Thesaurus, the Evaluations Publications Catalog, and others.

12.1 ARDA

12.1.1 Preparing an issue

As of 3/89, initial selection of documents to be presented in ARDA is the responsibility of the ARDA Editor. As a general rule, only current documents (those published in the current or previous year) will be chosen for ARDA. For PN documents classified as current, catalogers will enter the ARDA flag in the d530 field. The editor will then review documents tagged to determine their appropriateness for inclusion in ARDA. Items to be cited should convey meaningful research or evaluative information with application beyond the strictures of one or only a few projects. The ARDA editor should also attempt to select documents on topics of current interest to the Agency; good ways to get a sense of which topics are important is ny reading Requests and Responses to see which issues have been brought to the attention of the RRS staff by the field, and by reviewing ARDA and DISC order histories. Documents selected for ARDA should then be marked for abstracting and indexing; all other PN documents should be marked for indexing only. PD documents may be occasionally submitted for inclusion by CDIE on a case by case basis.

For those documents thus selected, the Publications Manager should enter the ARDA volume and issue number (Fields D501 and D502, respectively), and subject codes (Field D503 - see Figure 12.6 for subject codes) to the DOCRD records. The entire subfielded Field D500 is periodically inverted, thus allowing fast access searching of items selected for upcoming issues of ARDA. The job used to invert D500 is INVDCAR (Figure 12.1).

After the ARDA documents have been abstracted (see Abstracting Guidelines for a description of ARDA abstracts), edited, and transmitted, they should be retained until the issue is complete. When more than the number of documents needed for a given issue (typically 100) have been completely processed, a printout of the bibliographic records should be carefully proofed (use the ARDACPF.PF print format, which is close to the typeset format). Perform a search in the DOCUMENT database to identify all ARDA documents selected for publication in the latest issue:

```
>=d500 XXX@
```

where XXX is a volume and issue number (e.g., 151).

1 = 100

to find the number of these that have been abstracted, search the date abstracted field (D680):

and d680 present

2 = 100

save the hitfile as ARDXXX (again, XXX=volume and issue number. Print out a copy using the ARDACPF.PF print format for review.

The stream job TESTINDX (Figure 12.2) prepares and prints out the three indexes needed for an issue: (1) combined subject and geographic index; (2) combined institution and personal author index; and (3) document number index. These printouts must be proofed by the editor very diligently and carefully. All errors must be corrected on DOCRD.

The stream job TESTITEM (Figure 12.3) produces a printout of the bibliographic citations and abstracts (as well as the microfiche and paper copy costs of the documents) using a print format which mimics ARDA. While not mandatory, proofing of the abstracts is strongly suggested. The editor must also make sure at this stage that all price information is present. If not, the fiche counts must be checked.

Once all the records have been corrected, they can be downloaded for typesetting. First, the hitfile of ARDA records must be sorted by subject category (D503) and within that by DOCID. This is done using the index processor in Minisis.

:in

specify database: document

select records: hitfile=ARDXXX

select output command: output=[file name for sorted records]

please specify first sort key: key=use ardsort

ARDSORT is a saved sort routine which will automatically sort the records.

After a while the hitfifie will be sorted.

Item numbers can then be inserted into the d503 field for each record using UPD. Number each record beginning with 001 and ending with 100. Item numbers do not run consecutively from issue

to issue.

This sorted hitfile can then be inserted in to the TESTITEM string job (by altering line 16 through the editor utility) to calculate fiche costs and print a proof sheet. TESTITEM produces an output hitfile, PRICE, which contains the sorted records plus the price information for ficio and paper copies. This hitfile can then be downloaded as an ASCII file using the ardanxpf.pf print format.

Finally, ASCII files for the indices are prepared by inserting the ARDXXX hitfile into the ARDAINDX stringjob. Download the output hitfiles via Reflection using the DOCAUTH.PF, DOCID.PF, and SUBJPF.PF print formats,

NOTE: To ease formatting it is important to make sure that the print format contains no unwanted literals and aligns each line flush left.

12.1.2 Typesetting

All typesetting for ARDA is done in house, using PageMaker 5.0. A number of specialized templates have been created for ARDA. There is a different template for each ARDA subject area and index, so be sure the topic of the text and the topic of the template match. When you place the text, be sure to check the "read tags" option in PageMaker. The text will be imported and the correct styles should be automatically assigned to each element of each citation. Some minor reformatting may be required, but this can usually be accomplished using the "Replace" feature available in PageMaker's text editor. Create the table of contents in the same way.

At this stage, it should be possible to determine blank spaces within the publication where photos can be inserted, normally at the end of a chapter. The editor should identify where the photos are to be inserted and prepare a list of topics to be illustrated. Photos are available primarily from A.I.D.'s Office of Public Affairs (see Clyde McNair, 632-4330, Rm. 4890, State Department) and from AID-funded or AID-produced documents. Generally, an appointment is made with the XA/P office to select photos, and either he/she or an abstractor takes the list and goes to NS to pick out the photos. Within XA/P, Clyde McNair manages the photo collection and can help in locating appropriate photos. Photos are sometimes available from the World Bank and other sources.

Beginning with ARDA 15:1, a photo is also used for the ARDA cover. The cover photo must be of good quality and (if possible) relate to a subject treated in the issue. A caption for the cover photo appears on the inside front cover.

NOTE: Credit must always be given to the source of the photos - even if it is A.I.D. Photos in copyrighted AID-financed books may be used without prior approval; however, prior approval is required for all photos which are themselves copyrighted or which are in copyrighted books not funded by A.I.D. Due to the time and effort needed to obtain approval, photos for which copyright permission is needed are generally not used for ARDA.

Photos should specifically relate to documents within the issue (often a difficult task) or generally

complement them. Once selected, the editor should write captions for the photos and insert the captions in the appropriate places in the publication. Once the body of the publication (i.e., table of contents, text with captions, and indices) has been completed, changes can be made to the recurring pages that appear at the beginning and end of each issue of ARDA. These include Questions and Answers about ARDA (p. iii), User's Guide to ARDA Citations" (p. iv), and, at the end of each issue, "Ordering Instructions" and the order form. Paste-up boards for each of these pages exist and are reused from issue to issue. Generally, all that needs to be changed are the footers; print out the correct page numbers and footer style and paste in the appropriate place on each board.

There is also a smaller board used to strip in the correct volume and issue numbers and TN number for the front cover. See Margo Klish for the correct TN number and print out and paste in as needed.

This is also a good time to size the photos selected for the issue. Based on the space available for each photo, write cropping and reduction/enlargment instructions for each photo. Generally it's a good idea to number photos, attach instructions to each one, and provide a separate list of instructions referencing the photos by number. Then, using a non-photo blue pencil, indicate on the final art work where each photo should go. Even more helpful is to paste paper cutouts the same size of the sized photos into place.

Finally, provide typeset pages for the business page (cover 1) and photo credits (cover 3). After a final review, the art should be ready to go to the printer.

12.1.3 Printing

Our printer is Kirby Lithographic Company, Inc., 1900 South Eads Street, Arlington VA 22202; our contact is Peggy Irvine (684-7600). We supply Kirby with camera ready copy and photos with sizing information, and they do the rest. It is best to notify Bill several weeks ahead about when to expect the next issue.

Specifically, the packet Kirby picks up should contain the following:

1. Artwork (including business and photo credit pages, table of contents, and the text)

2. Prints of photos

3. Sizing instructions for photos

4. Boards for the four recurring pages with correct footers pasted in

5. Strip in board for cover with correct volume, issue, and TN numbers

6. Cover mock up.

7. Information (generally from Virginia Van Brunt) about total press run, number of copies to be

delivered to the DISC, and a printing deadline.

Printing usually takes about two weeks. After a few days, Peggy will send a blue line for the editor to check over and approve. After this is approved, Kirby will print the number of copies requested and deliver to the DISC.

12.1.4 Distribution

ARDA distribution is done by the Document Distribution Unit.

12.1.4.1 Producing ARDA Labels

The editor supplies DDU with MINISIS hitfiles for the labels; DDU prints the labels and distributes the issue.

12.1.4.1.2 Making Hitfiles for ARDA Labels

ARDA labels are drawn from both RECIPRD and REQUESTR. As of 3/89 there are about 3,000 recipients on RECIPRD and only about 161 paying subscribers on REQUESTR.

Each ARDA mailing consists of six lists drawn from these databases. These lists include :

1. RECIPRD foreign
2. RECIPRD domestic
3. RECIPRD AID/W
4. RECIPRD USAID DIC's
5. REQUESTR first class subscribers
6. REQUESTR surface rate subscribers
7. RECIPRD recipients who receive more than one copy of ARDA

Seven hitfiles are prepared in MINISIS to produce these lists. To produce the list of RECIPRD recipients who receive more than one copy of ARDA, make a basic query:

>=U100

U100 is the publications code field in RECIPRD, which lists each of the publications that is sent to that address. A is the code for ARDA. This query should yield about 3,200 hits.

(1) 3242 and U150 present

This search will take some time. U150 is the number of copies field and the resulting hitfile will include all addresses which receive multiple copies.

(2) 6

Save this hitfile as VMULTI

Save VMULTI

Because there are so few of these, to ensure proper handling we mail them ourselves. When making labels in the ADPMENU program be sure to specify one-up labels instead of cheshire and be sure to include the U150 field on the label itself so that User Services will know how many copies to send.

To prepare the RECIPRD AID/W list, a multiple query of the r510 field is performed.

(1) and (r510 011 or r510 012 or r510 013 or r510 019)

This produces a hitfile that contains all ARDA recipients located within AID/W. R510 is the organization type field, and 011, 012, 013, and 019 are codes for AID/W. This should yield a hitfile of about 270.

(3) 278

save the hitfile as VAID.

Save VAID

Later on, in the ADPMENU program, this list should be sorted by zip code, and, if possible, by building and room number.

The USAID list is produced in a similar way. A short hitfile of all DIC's is prepared by doing another multiple query using the R510 fiallot.

(1) and not (3)

This produces a list of ARDA recipients minus those on the AID/W list. About 3,000 hits.

(4) 2,790 and not (r510 021 or r510 022 or r510 023 or r510 024 or r510 026 or r510 029)

this narrows the list to exclude all other USAID recipients besides DIC's.

(5) 2806 and r510 025

025 is the code for DICs. This produces the DIC list (about 50).

(6) 49

Save this list as VDIC.

SAVE VDIC

This list doesn't require sorting during label generation, since it will go via pouch.

To make the list for domestic ARDA recipients, a query is done on the country field (S090).

(5) and not (6) (7) 2757

This produces a list of strictly non-AID recipients.

and cntry USA (8) 646

cntry is the mnemonic for s090. Save this list as VUSA

save VUSA

and during label generation be sure to sort according to zip code.

The overseas list is simply everyone that has not already been included on a list.

(7) and not (8) (9) 2111

This produces a hitfile that is the result of (7) all non-AID recipients minus (8) all domestic non-AID recipients. Save as VFORN

save VFORN

and sort according to country. To get back to the carat (>) prompt, type a dollar sign ($) and then "db requestr"

$ >db requestr

This puts you into the REQUESTR database. Procedures for making REQUESTR lists are much the same, although here the key distinction is kind of postage.

Q> =r220 A

R220 is the publications code fiallot tag in REQUESTR.

(1) 161

Eliminate those who have not paid by querying the r350 (DATE PAID) fiallot

and not r350 pending (2) 151

Select the ones who paid extra for first class delivery by using the mail class fiallot (r390)

and r390 1 (3) 29

1 is the code for first class mail. Save this hitfile as VRQONE

save VRQONE

and be sure to sort it by country and zip code, since it contains both foreign and domestic addresses.

The surface hitfile obviously contains everyone else identified in (1).

(1) and not (3) (4) 130

Save this hitfile as VRQSUR and sort it by country and zip.

save VRQSUR

With these seven hitfiles, you're ready to go into the label program to actually print the labels. Follow the directions above for the ADPMENU program, making sure to specify C for Cheshire, unless you're doing the multiple copy labels, in which case you'll specify 1 for one-up.

Field tags for RECIPRD labels are as follows:

s010 s020 s030 s040 s050 s060,s070,s080 s090

Specify sort fields as discussed above; usually these will be the zip or country fields.

For the RECIPRD multiple copy list, follow the above procedures, but be sure to specify 1 for label format and add the u150 tag to the end of the label, after the country tag.

For REQUESTR lists, follow this format:

r010 r020 r030 r040 r050 r070,r080,r100 r090

and sort as appropriate. When the labels are printed, be sure to check that they have been sorted properly, and that they have been printed in a six lines to the inch format.

The table below summarizes the various ARDA hitfiles and label jobs.

Kind of List Hitfile Name Label Sort Mail

RECIPRD/AID/W VAID C bldg/rm courier

RECIPRD/DIC's VDIC C none courier

RECIPRD VUSA C zip 4th cl. non A.I.D. domestics

RECIPRD VFORN C country surface non A.I.D. overseas

RECIPRD VMULTI 1 none surface multiple copies

REQUESTR VRQONE C country 1st cl. 1st class /zip

REQUESTR VRQSUR C country surface surface /zip

Figure 12.1

```
!JOB INVDCAR,MGR/MGR.MINISIS/MJS;INPRI=6;PRI=CS !COMMENT
************************************************** !COMMENT Sorts and inverts
ARDA information (D500) !COMMENT
************************************************** !PURGE NVDCAR !PURGE
NVDCARDD !FILE OUTFL;DEV=LP,1 !IN DOCRD ISN=1/99999 OUTPUT=NVDCAR
KEY=ARDA,LENGTH=10 FIELD=D500 END *** !D ERASE BTREE=DCAR EXIT !INV
INVERT NVDCAR DCAR TREEMANT DCAR N EXIT !PURGE NVDCAR !PURGE
NVDCARDD !EOJ
```

Figure 12.2

```
!JOB TESTINDX,CLARE.MINISIS/MJS;INPRI=7 !COMMENT
**************************************************** !COMMENT This job uses a
hitfile called ARD### to produce !COMMENT the following indexes for ARDA: !COMMENT (1)
combined subject and geographic index !COMMENT (2) combined institution and personal author
index !COMMENT (3) contract/grant index !COMMENT (4) docid index !COMMENT
**************************************************** !PURGE ARDA1 !PURGE
ARDA1DD !PURGE ARDA2 !PURGE ARDA2DD !PURGE ARDA3 !PURGE ARDA3DD
!PURGE ARDA4 !PURGE ARDA4DD !RUN INDEX.PUB.MINISIS;LIB=P DOCRD
HITFILE=ARD113 OUTPUT=ARDA1 KEY=SUBGEO,LENGTH=40
FIELD=C210,TYPE=A1,BEFORE=YES END KEY=ITEMNO,LENGTH=4 FIELD=D503 END
*** !RUN PRINT.PUB.MINISIS;LIB=P DOCRD SUBJPF.PF HITFILE=ARDA1 END !FILE
ARDA2;DEV=DISC;DISC=200000 !FILE INDXWORK;DEV=DISC;DISC=200000 !RUN
INDEX.PUB.MINISIS;LIB=P DOCUMENT HITFILE=ARD113 OUTPUT=ARDA2
KEY=AUTHRS,LENGTH=240 FIELD=B210,OCC=2 FIELD=B221,STRIP=STRIPTHE=L END
KEY=ITEMNO,LENGTH=4 FIELD=D503 END *** !RUN PRINT.PUB.MINISIS;LIB=P DOCRD
AUTHPF.PF HITFILE=ARDA2 END !RUN INDEX.PUB.MINISIS;LIB=P DOCRD
HITFILE=ARD113 OUTPUT=ARDA3 KEY=CNTRCT,LENGTH=21,UPSHIFT=YES
FIELD=D060,STRIP=S2 END KEY=ITEMNO,LENGTH=4 FIELD=D503 END *** !RUN
PRINT.PUB.MINISIS;LIB=P DOCRD CONTRAPF.PF HITFILE=ARDA3 END !RUN
```

INDEX.PUB.MINISIS;LIB=P DOCRD HITFILE=ARD113 OUTPUT=ARDA4 KEY=DOCID,LENGTH=14 FIELD=A000,STRIP=S2 END *** !RUN PRINT.PUB.MINISIS;LIB=P DOCRD DOCIDPF.PF HITFILE=ARDA4 END !PURGE ARDA1 !PURGE ARDA1DD !PURGE ARDA2 !PURGE ARDA2DD !PURGE ARDA3 !PURGE ARDA3DD !PURGE ARDA4 !PURGE ARDA4DD !EOJ

Figure 12.3

!JOB TESTITEM,CLARE.MINISIS/MJS;INPRI=4 !COMMENT ********** !COMMENT Produces a draft report of ARDA abstracts and citations !COMMENT for typesetting by ECD. Specifically, this job !COMMENT (1) sorts items to be published in ARDA !COMMENT (2) determine ficio and paper copy costs !COMMENT (3) prints the data using the ARDACPF print format !COMMENT ********** !PURGE ARDAI !PURGE ARDAIDD !PURGE PRICE !PURGE PRICEDD !RUN INDEX.PUB.MINISIS;LIB=P DOCRD HITFILE=ARD111 OUTPUT=ARDAI KEY=ARDA ITEM NUMBER,LENGTH=4,SORT-TYPE=NUMERIC FIELD=ARDAI END *** !RUN COMPUTE.PUB.MINISIS;LIB=P DOCRD HITFILE ARDAI OUTPUT PRICE COMPUTE F=D400*1.08 DECIMAL 2 COMPUTE PC=D410*0.13 DECIMAL 2 XEQ !RUN PRINT.PUB.MINISIS;LIB=P DOCUMENT ARDACPF.PF HITFILE=PRICE END !PURGE ARDAI !PURGE ARDAIDD !PURGE PRICE !PURGE PRICEDD !EOJ

Figure 12.4

```
!JOB ARDAINDX,CLARE.MINISIS/MJS;INPRI=7 !COMMENT
************************************************** !COMMENT This job uses a
hitfilp called ARD### to produce !COMMENT the following indexes for ARDA: !COMMENT (1)
combined subject and geographic index !COMMENT (2) combined institution and personal author
index !COMMENT (3) contract/grant index !COMMENT (4) docid index !COMMENT and then
runs a tape for ECD. Output editor files are !COMMENT INDX1, INDX2, INDX3, and INDX4.
!COMMENT ************************************************** !PURGE ARDA1
!PURGE ARDA1DD !PURGE ARDA2 !PURGE ARDA2DD !PURGE ARDA3 !PURGE
ARDA3DD !PURGE ARDA4 !PURGE ARDA4DD !RUN INDEX.PUB.MINISIS;LIB=P DOCRD
HITFILE=ARD113 OUTPUT=ARDA1 KEY=SUBGEO,LENGTH=40
FIELD=C210,TYPE=A1,BEFORE=YES END KEY=ITEMNO,LENGTH=4 FIELD=D503 END
*** !FILE OUTFL=INDX1,NEW;DEV=DISC;REC=-132,,F,ASCII;SAVE;NOCCTL !RUN
PRINT.PUB.MINISIS;LIB=P DOCRD SUBJPF.PF HITFILE=ARDA1 END !RUN
INDEX.PUB.MINISIS;LIB=P DOCUMENT HITFILE=ARD113 OUTPUT=ARDA2
KEY=AUTHRS,LENGTH=240 FIELD=B210,OCC=2 FIELD=B221,STRIP=STRIPTHE=L END
KEY=ITEMNO,LENGTH=4 FIELD=D503 END *** !FILE
OUTFL=INDX2,NEW;DEV=DISC;REC=-132,,F,ASCII;SAVE;NOCCTL !RUN
PRINT.PUB.MINISIS;LIB=P DOCRD AUTHPF.PF HITFILE=ARDA2 END !RUN
INDEX.PUB.MINISIS;LIB=P DOCRD HITFILE=ARD113 OUTPUT=ARDA3
KEY=CNTRCT,LENGTH=21,UPSHIFT=YES FIELD=D060,STRIP=S2 END
KEY=ITEMNO,LENGTH=4 FIELD=D503 END *** !FILE
OUTFL=INDX3,NEW;DEV=DISC;REC=-132,,F,ASCII;SAVE;NOCCTL !RUN
PRINT.PUB.MINISIS;LIB=P DOCRD CONTRAPF.PF HITFILE=ARDA3 END !RUN
INDEX.PUB.MINISIS;LIB=P DOCRD HITFILE=ARD113 OUTPUT=ARDA4
KEY=DOCID,LENGTH=14 FIELD=A000,STRIP=S2 END *** !FILE
OUTFL=INDX4,NEW;DEV=DISC;REC=-132,,F,ASCII;SAVE;NOCCTL !RUN
PRINT.PUB.MINISIS;LIB=P DOCRD DOCIDPF.PF HITFILE=ARDA4 !RUN EDITOR.PUB.SYS
TEXT INDX1 L ALL,OFFLINE TEXT INDX2 L ALL,OFFLINE TEXT INDX3 L ALL,OFFLINE
TEXT INDX4 L ALL,OFFLINE EXIT END !PURGE ARDA1 !PURGE ARDA1DD !PURGE
ARDA2 !PURGE ARDA2DD !PURGE ARDA3 !PURGE ARDA3DD !PURGE ARDA4 !PURGE
ARDA4DD !EOJ
```

Figure 12.5

```
!JOB ARDAITEM,CLARE.MINISIS/MJS;INPRI=7 !COMMENT
************************************************** !COMMENT Produces a tape of
ARDA abstracts and citations !COMMENT Specifically, this job !COMMENT (1) sorts items to be
published in ARDA !COMMENT (2) determine ficio and paper copy costs !COMMENT (3) prints
the data using the ECDTAPPF print format !COMMENT
************************************************** !PURGE ARDAI !PURGE
ARDAIDD !PURGE ATEST !PURGE ATESTDD !PURGE ITEMS !RUN
INDEX.PUB.MINISIS;LIB=P DOCRD HITFILE=ARD111 OUTPUT=ARDAI KEY=ARDA ITEM
NUMBER,LENGTH=4,SORT-TYPE=NUMERIC FIELD=ARDAI END *** !RUN
COMPUTE.PUB.MINISIS;LIB=P DOCRD HITFILE ARDAI OUTPUT ATEST COMPUTE
F=D400*1.08 DECIMAL 2 COMPUTE PC=D410*0.13 DECIMAL 2 XEQ !FILE
OUTFL=ITEMS;DEV=DISC;REC=-132,,F,ASCII;SAVE;NOCCTL !RUN
PRINT.PUB.MINISIS;LIB=P DOCUMENT ECDTAPPF.PF HITFILE=ATEST END !RUN
EDITOR.PUB.SYS TEXT ITEMS L ALL,OFFLINE EXIT !PURGE ARDAI !PURGE ARDAIDD
!PURGE ATEST !PURGE ATESTDD !EOJ
```

Figure 12.6

ARDA Subject Category Codes for Field D503

1. Add the code to D503, padding with zeros (010). 2. Run an index with primary sort on D503 and secondary sort on A000. 3. Select the necessary number of items from each category. 4. Transfer item numbers to a worksheet. 5. Globally delete D503. 6. Add the item numbers to D503.

General Development
011 Development Assistance
012 Women in Development

020 Economics
025 Private Enterprise

Agriculture and Farming
031 General Agriculture and Agricultural Administration
032 Plant Science
033 Soil Science and Fertilizer
034 Irrigation and Water Management
035 Livestock and Range Management
036 Aquaculture

040 Food and Nutrition Health

051 Health Care
052 Diseases and Medical Research
053 Water Supply and Health Population

061 Demography
062 Family Planning Human Settlements and Shelter

071 Rural, Urban, and Community Development
072 Housing Environment and Natural Resources

081 General
082 Water
083 Forestry

090 Energy

100 Education

110 Social Science, Politics, and Culture
120 Technology, Industry, and Communication
130 Transportation

12.2 ARDA Abstracts for Front Lines

On an irregular basis, selected ARDA abstracts are sent to Suzanne Chase, XA/P (647-4330) for presentation on the back page of Front Lines. Three abstracts on the same general topic are chosen. Abstracts selected should be from the most recent documents available and should be on a subject area that is generally recognized as current and important. A list of everything published in Front Lines is in the Front Lines filp; care should be taken not to repeat subjects covered in the last year and a half or so.

Once selected, abstracts are downloaded to a Wordstar ASCII file using DOC6PF.PF format. The ASCII file is then edited to match the Front Lines format and two paper copies of the file are produced. One paper copy is kept and filed; the second copy is sent along with the ASCII file and forwarded to Suzanne Chase at Front Lines.

Note: with the change in format for Front Lines, abstracts have not appeared.

12.3 Acquisitions Lists

The DISC produces three New Acquisitions Lists.

12.3.1 Production

1) New Acquisitions: Technical Reports is produced on a monthly basis. Streamjob NEWACQPN is run to produce an indexed filp of materials to be presented in the list. Line 13 of the job must be modified each month to reflect documents returned from filming during the last month. The filp produced by the stream job, VARDX, is then downloaded to a ASCII filp using the print format NWACPNRR.PF. The ASCII file is then formatted in Pagemaker using the Technical Reports template on the publications workstation. (Path: Nimrod/Pagemaker 3.0/PageMaker docs/Templates/New Acquisitions templates).

2) New Acquisitions: Evaluation Reports is produced on a quarterly basis. Streamjob NEWACQEV is run to produce an indexed filp of records to be included in the list. Line 14 and 15 of the job must be changed to the last 3 month's dates. The job produces an output filp called EVARDX which is then downloaded to an ASCII filp using the DOCUMENT printformat NEWACQEV.PF. The filp is then formatted in Pagemaker, using the Evaluation Reports template on the publications workstation.

3) New Acquisitions: Project Descriptions is produced on a bimonthly basis. A query is done in the Projects database to identify the project abstracts added to the database in the last three months. The result is 'anded' with SDOCID present because we only announce new projects that have a source

document that can be ordered by recipients of the New Acquisitions Lists. This hitfile is then saved and downloaded to an ASCII file using the PROJECTS printformat NEWACQPD.PF. A paper copy is then made and reviewed. Ideally we only use active projects that have become active in the current fiscal year. In practice, this is sometimes impossible because it eliminates all of the abstracts. The best bet is to eliminate older projects and completed projects and to include active or planned projects that are fairly current. The final ascii file is formatted in Pagemaker, using the Project Descriptions template on the publications workstation.

12.3.2 Distribution

Once the original copy has been created, including a table of contents and updated cover page, it can be given to Larry for reproduction and distribution. Acquisitions List labels are run on a monthly basis. One job is run to produce labels for both the Technical Reports list and whichever other one is scheduled for the month. Follow these procedures.

1) Query RECIPRD on the U100 fiallot using T as the code for Technical Reports. The result is then OR'ed with U100 Y for Evaluation Reports or U100 J for Project Descriptions, depending on what is scheduled for that month. Separate out APO and FPO addresses. Save the two hitfiles.

2) Print out the labels using the ADPMENU program. Label format for APO/FPO labels is as follows:

U170
S010
S020
S030
S040
S050 S060,S070,
S080 S090 U750 (#TR copies),U850(#PD copies),U950 (#ER copies) Note: U850 or U950 depending on which is published

Label format for the other New Acquisitions List Labels:

U170
S010
S020
S030
S040
S050 S060,S070,
S080 S090,U750,U850,U950

Sort by country and zip. Once the labels are run, by sure to count the number of copies listed on the labels to determine the number that should be run off.

12.4 DIC Manual

The DISC produced the Development Information Center (DIC) Manual using Ventura in 1988. The manual may require periodic updating; relevant Ventura text, graphics, and chapter files have been stored on disk and are available in the disk filp in the publications office.

12.5 A.I.D. Thesaurus

The A.I.D. Thesaurus is periodically updated and published, most recently in 1991. The Thesaurus is produced in PageMaker using special templates developed for the Thesaurus. Special minisis print formats are used to insert stile tags in the downloaded text, much like ARDA.

12.6 Other publications

The publications unit is called up on to produce a wide range of materials, including software manuals (e.g., for CD-DIS etc.), catalogs (the Evaluations Publications Catalog and Supplement), annual reports, CD disk labels and packaging, charts, posters, and other graphics. Each job requires the development of specific procedures to accomplish the work as efficiently as possible, and will naturally vary from task to task depending on job requirements and software capabilities.

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Section 13
Document Distribution Unit
(formerly User Services)

13 Dissemination Services

13.1 Document Distribution Procedures

User Services was renamed, "Document Distribution Unit" (DDU) in November 1990. The DDU of the DISC fulfills requests for copies of all documents included in USAID's Development Information System (DIS).

Documents are provided using a combination of microfiche, shelf copies, and paper copies reproduced from microfiche. Electronic versions of some documents and VHS videos are also reproduced.

13.1.1 Pricing Policy

Effective January 1988, a new pricing policy became effective. A major change was instituted requiring **ALL** contractors to pay for documents requested. Additionally, document(s) cost exceeding $30, would have to be prepaid according to the following user groups.

Category I
- All USAID/W and Mission requests are fulfilled free of charge.

Category II
- USAID-funded contractors, grantees, and international organizations*, and non-A.I.D. funded development country donors and U.S. government agencies must pay for USAID materials.

- USAID-funded private voluntary organizations receive 5 free paper copies per order.

- USAID-funded LDC/host country institutions receive 5 free microfiche cards per order*.

- The U.S. Congress and the Congressional Research Service receive USAID materials free of charge.

Category III
- Non-USAID funded LDC institutions, businesses, consultants, the general public, developed country institutions and non- USAID funded private voluntary organizations must pay for USAID materials.

*Organizations with CDIE exchange agreements are exempted.

13.1.2 Document Pricing

Documents are available to requestors at a reproduction cost of $.13 per page for documents to be reproduced from microfiche and $1.25 per microfiche duplicates. Additionally, documents which are maintained as shelf copies at the DISC are available for $3.00 per copy. Documents in the Paper Copy Library at the DISC that have faded, broken type and or missing pages are free.

The Handling charge is $5.00, while shipping charges are assessed according to the type of delivery, destination, and quantity ordered. However, when invoicing must occur first (exceeds $30 limit), then the shipping charge begins at $5.00 for 1-10 documents and 50 cents for each additional document.

13.2 Distribution Policy

Distribution of USAID documents has been categorized by the following.

Category I (1 day turnaround)
Category II (3 day turnaround)
Category III (7 day turnaround)

Distribution of USAID documents in the Development Information System is unrestricted per instructions from USAID legal counsel, with the exception of certain BIBtypes having restrictive wording, "Procument Sensitive Information, USAID Authorized Personnel Only" or "Procurement Sensitive Document", also known as PSIs or PSDs. These documents are only provided to USAID Authorized Personnel (direct hires) or those which have been exempted from this restriction.

13.2.1 Exchange Agreements

CDIE/DI has established agreements with selected international organizations and other developed country institutions whereby USAID documents and data tapes are exchanged on a regular basis. The organizations with exchange agreements are maintained in the REQUESTR database.

13.2.2 Free Distribution

LDC institutions are entitled to receive up to 5 free microfiche titles per order. Paper copies of documents are distributed at the above stated pricing rate.

The following are entitled to receive USAID documents free-of-charge:

- A.I.D./Washington and A.I.D./Missions
- Congress
- OMB
- Peace Corps
- State Department

13.3 Processing Requests

Requests for USAID documents are received by telephone, fax, email, pouch, walk-in and U.S. mail. Mail is received daily from two major sources: 1) U.S. Mail and 2) DISC Courier service. The DDU Supervisor reviews, sorts, and distributes requests for processing. Orders received are processed and mailed on a categorized basis.

13.3.1 REQUESTR Database Entry Procedures

The REQUESTR database contains the names and addresses of 1) organizations and individuals requesting documents from the DIS and 2) paid subscribers of A.I.D. Research & Development Abstracts (ARDA).

When a request for documents is received, it must be determined whether the requestor is already on the database. Whenever possible, use the existing address with ATTN LINE in ORDERRD for the person requesting the order. To do this, use the following procedure:

1. Go into QUERY. Database = REQUESTR

2. Search on the requestor number (R000) if known.

3. If there is no Requestor number, search on the address using Address Line 1 (R010), City (R070), State (R080), or Country (R090) until 1 or more possible matches have been found. Do not search every address line. They are all searched automatically when any address line (i.e., R010, R020, R030, R040, or R050) is specified.

4. When a good match is found, use the Requestor number (R000) to enter the order in ORDERRD. For any modifications made to the record in REQUESTR, add R210 Date Modified.

5. If no match is found in REQUESTR, a new record must be entered.

Before entering a new address in the REQUESTR Database, check the reference lists of Frequent Users: 1) A.I.D. Missions; 2) Exchange Agreement Institutions; and 3) Frequent Users (Big Hitters). Verify the address and use the previously assigned Requestor Number if the address is still current.

If the address is current and the name is different, enter the name in the ATTN field in ORDERRD so the order is sent to the right individual.

After determining that an address must be added to REQUESTR, the following fields should be entered.

REQUESTOR NUMBER . . . . . (REQNO/R000)

The REQUESTOR NUMBER is the unique identification number for each address. The REQUESTOR NUMBER in the REQUESTR DATABASE joins with the Requestor Number in the ORDERRD Database to link the mailing address with the documents ordered.

The REQUESTOR NUMBER is composed of three separate fields: 1) List ID number; 2) A.I.D. Geographical Code; and 3) ISN number of the address being created.

LIST ID . . . . . (LISTID/R001).

The LISTID is a three digit number indicating the status of the requestor.

Assign the appropriate code from the following list:

001 Lesser Developed Countries (LDCs)
003 USAID Missions (USAIDs)
004 USAID Washington
008 USAID Contractors
017 Developed Countries (Include UK, Italy, Canada, Netherlands, France, Germany, etc.)
019 Development Organizations (Peace Corps, World Bank, USIA, IDRC, UNESCO, FAO, CIDA, etc.)
130 U.S. Government
140 U.S. Education (Including libraries)
160 U.S. Business
170 U.S. Individuals (Include students)
190 Unidentified and Other

USAID GEO CODE . . . . . (GEOCD/R002)

The USAID GEO CODE is a three digit number indicating the country of the requestor. Use the USAID Geographic codes as indicated in the USAID Handbook or USAID DISC Operations Manual.

SEQUENCE NUMBER . . . . . (ISN) (SEQN/R003)

SEQUENCE NO is the unique ISN of the record being created for the addressee.

ADDRESS LINE 1 (ADDR1/R010)
ADDRESS LINE 2 (ADDR2/R020)
ADDRESS LINE 3 (ADDR3/R030)
ADDRESS LINE 4 (ADDR4/R040)
ADDRESS LINE 5 (ADDR5/R050)

Address lines are entered as needed, including institution names, departments, and street addresses. Do not add individual names unless the LISTID is 170. Use the ATTN line in ORDERRD to show to whom the order is going. Some general guidelines include:

* Avoid punctuation (enter: 1818 H ST NW)
* Use standard abbreviations - (enter: INTL not INTERNAT)
* Do not use titles such as: MR, MRS, DR, etc
* Avoid Articles (enter: URBAN INSTITUTE not THE URBAN ..)
* Type in ALL CAPS
* 35 character line
* Indent 1 on follow-up lines

CITY . . . . . (CITY/R070)

STATE . . . . . (STATE/R080)

Use only two letter standard abbreviations

COUNTRY . . . . . (COUNTRY/R090)

U.S. ZIP CODE . . . . . (ZIP/R100)

DATE ENTERED . . . . . (DATEIN/R200)

A short cut for entering today's date is to enter ++1.
You can also type the date in the following format: YYYY-MM-DD or 1994-03-31.

TYPE . . . . . (TYPE/R220)

The TYPE refers to the type of request. Type R unless this is a new ARDA subscriber. Also included in this field are the following codes which create the "Frequent User Lists":

BIG Major Contractor Users
EX Institutional Exchange Agreements
MISS USAID Missions

USAID BUREAU (BUREAU/R170)

This field was added so that statistics could be compiled by bureau. This field is entered for all USAID Missions (LISTID 003) and USAID/W (LISTID 004) as follows:

CODE ENTERED	FOR BUREAU
AFR	Africa Bureau
ANE	Asia/Near East Bureau
BHR	Bureau for Humanitarian Assistance
ENI	Newly Independent States Bureau
G	Global Programs Field, Support & Research
LAC	Latin America & the Caribbean Bureau
LPA	Legislative & Public Affairs Bureau
M	Management Bureau
PPC	Policy & Program Coordination
OTHER	Other Offices

This field is an inverted (fast access) field and is projected out as a noninverted field in the ORDER3DS database. Because of the structure of the databases it also exists in ORDERDS as an inverted field but queries of this field should not be done on ORDERDS unless a free text search is specified; a fast access search of this field in ORDERDS will access the wrong B-trees and give incorrect results.

In order to make searching easier, it is necessary to have consistent data. If you must shorten a word, or a derivative of a word listed here, use this abbreviation only. Do not make up your own. Eliminate commas, period and other punctuations whenever possible.

STANDARD ABBREVIATION:

ADMIN	ADMINISTRATION
AGRIC	AGRICULTURE
AGRON	AGRONOMIC
AP	APARTADO
ASSOC	ASSOCIATION
ASST	ASSISTANT
AUTH	AUTHORITY
AVE	AVENUE
BIO	BIOLOGICAL
BP	BOITE POSTAL
BROS	BROTHERS
BLDG	BUILDING
COMM	COMMUNICATIONS
CORP	CORPORATION

DEPT	DEPARTMENT
DEV	DEVELOPMENT
DIV	DIVISION
ECON	ECONOMIC
ENV	ENVIRONMENT
FED	FEDERAL
GOVT	GOVERNMENT
IND	INDUSTRIAL
INTL	INTERNATIONAL
PO BOX	POST OFFICE BOX
PROG	PROGRAM
PROJ	PROJECT
ST	STREET
UNIV	UNIVERSITY
RD	ROAD
LA	LANE
CT	COURT
PL	PLACE

13.3.2 ORDERRD Database Entry Procedures

ORDERRD is the database which contains the information necessary to fulfill and track document requests. It links to REQUESTR by REQNO, and to DOCRD by DOCID.

It is important to enter information accurately and carefully. A wrong DOCID number will result in the wrong document being sent.

Orders should be entered using ALL CAPITALS. Supervisor reviews all invoices against original request for quality control purposes.

REQUESTR NUMBER . . . . . (REQNO/J000)

REQNO identifies the requestor and makes the necessary link to the REQUESTR Database which contains name, address, etc.

Enter: 004-002-0021358

DISC ORDER NO . . . . . (DISC/J100)

DISC ORDER NO is a combination of 1) the date request is received, and 2) the ISN of the record in ORDERRD. The ISN is recorded on the request after the order is entered.

Example: 940321-54123

SPECIAL ORDER . . . . . (SPECL/J110)

An acronym is entered to track what form a document requests was received, such as HOUSING or ARTS.

ACRONYMS FOR J110

ARDA	A.I.D. Research and Development Abstracts
NA	New Acquisitions Lists
RR	Requests & Responses
ARTS	ARTS Abstracts
WID	Women in Development
HANDBOOK	CD-A.I.D. Handbook*

*Used primarily to track payments for subscriptions to CD Handbooks.

ORDER INFO . . . . . (ORDER/J300)

ORDER INFO is a repeating field which is entered for each document requested. When quering on this field all information about DOCID, quantity, and format are displayed.

ORDER DOCID . . . . . (ODOCID/J301)

ORDER DOCID is the field used to enter the Document ID Number (i.e. PNABQ636). However, if a document requested is not in the DIS then the ISN, or the organization's predefined document number is used (i.e. World Bank -- WP-234).

TITLE . . . . . (ORDTITL/J302)

ENTER a TITLE, if no DOCID is available. Do not enter a title if DOCID is entered.

QUANTITY . . . . . (ORDQTY/J303)

Indicate quantity requested.

FICHE/PAPER . . . . . (ORDFMT/J304)

Enter the format requested, either paper or microfiche. If format is not clear, check with the requestor if local, otherwise, assume paper is requested.

Enter: F (microfiche) P (paper)

NOT AVAILABLE . . . . . (AVAIL/J305)

If a title is requested which is not available, it will be indicated on the order by "N/A" or the availability note from DOCRD will be indicated.

PRIORITY . . . . . (PRI/J400)

Priority 1 = One day turn around.
Priority 2 = Three day turn around.
Priority 3 = Seven day turn around.

Enter: 1, 2 or 3

PHONE REQUEST . . . . . (PHONE/J410)

Indicate if phone request by indicating Y or N

Enter: Y or N

SEND ATTENTION . . . . . (ATTN/J420)

Enter individual name if indicated on order. Our REQUESTR database refers to institutions rather than individuals.

Enter: VALERIE DOUGLAS

DATE INVOICED . . . . . (DATINV/J430)

Date a requestor is invoiced is indicated in the form YYYY/MM/DD

Enter: 1994-03-21 or ++1 (for today's date)

DATE PAYMENT RECEIVED . . . . . (DATEPD/J440)

If a check accompanies the order, enter today's date in the form YYYY/MM/DD (as above).

Enter: 1994-03-21 or ++1 (for today's date)

DATE DUE . . . . . (DATEDU/J450)

If the order is needed by a certain date, indicate date needed. Otherwise, use the category I, II,III to determine date needed.

Enter in the form YYYY/MM/DD

Enter: 1994-03-21 or ++1 (for today's date)

DATE SENT . . . . . (DATEFL/J460)

Indicate date sent in the form YYYY/MM/DD. This date is indicated on the original requests if from USAID or on the invoice by the shipping clerk in DDU.

Enter: 1994-03-21 or ++1 (for today's date)

Cancelled orders are indicated by "***", along with a note in the NOTES (J520) field.

Enter: ***

SEND VIA . . . . . (VIA/J470)

Indicate how order is to be sent:

Enter:
FIRST CLASS or BOOK RATE (for domestic)
SURFACE RATE or AIR MAIL (for int'l)
UNCLASSIFIED/AIR POUCH (if indicated for Missions)
INTEROFFICE (for USAID Washington)
PICK-UP (arranged between DDU and customer)

DATA ENTRY INITIALS . . . . . (INIT/J480)

Enter initials of entry operator.

Enter: LSH

AMOUNT DUE . . . . . (AMTDUE/J500)

Indicate invoice amount if over the $30 limit, otherwise amount to be entered once document request has been processed, packaged and stamped if necessary.

Indicate "no charge" or "free" orders by entering *** Do not enter "$"

Enter: 85.00 or *** (for no charge orders)

AMOUNT RECEIVED . . . . . (AMTR/J510)

Indicate amount received, without "$". Enter amount of check received.

Enter: 85.77

NOTES . . . . . (NOTES/J520)

This field should be used only to indicate to the customer about shortages in payment, overpayment, or documents unavailable. This field prints on the invoice.

PURCHASE ORDER NUMBER . . . . . (PRCHNO/J530)

Orders received on purchase orders should have the purchase order number entered. Enter number as it appears on the order.

Enter: DA831987999

13.3.3 Invoice Generating

Printing a record in ORDERRD will generate an invoice which will be used to process the order. *Note: Invoices only need to be generated for NON-USAID persons or organizations.

Query for the ISN(s) of records entered into ORDERRD, as follows:

> Q (Q=query)
ORDERRD (Database name)
> =ISN 54123/54234 (unique record number(s), also part of DISC ORDER#)
SAVE TOTORD (hitfile of records)
SUBMIT ORDTOTL (job to print invoices)

13.4 Procedures for Order Fulfillment

1) All document orders are fulfilled based upon the predefined Priority Schedule set by USAID. All orders are reviewed by the Document Distribution Unit Supervisor. Once the orders have been reviewed, each order is separated for the appropriate processing. Once orders have been entered into ORDERRD then the following occurs.

USAID Orders

1. Determine if any documents are restricted (if so, check to see if end-user is a Direct Hire or exempted such as R&RS)
2. Highlight any special information (i.e. location, availability, quantity etc.)
3. Stamp date received on order (on-line orders only)
4. Write requestor number on order
5. Give order to appropriate processing unit (microfiche/paper reproduction)

Non-USAID Orders

1. Check original order against invoice for accuracy
2. Check that all document costs have been printed
3. Check document cost limit (if over $30 send invoice to client)
4. Attach invoice to original order
5. Give order to appropriate processing unit (microfiche/paper reproduction)

Quality Control

1. All documents and microfiche are reviewed for legibility
2. All DOCID or ISNs are reviewed against original order for accuracy
3. All documents or orders requiring additional work are placed back in the processing bin
4. Quality Control is the responsibility of **ALL** the DDU staff

Shipping

1. Orders are reviewed once again by the Shipping Clerk
2. Inserts are put in each order:
   Service Evaluation Form (DISC ORDER# is written on form)
   CD-DIS Flyer
   ARDA Subscripton
   Distribution Fee Schedule (only non-USAID orders)
3. Non-USAID orders are packaged using padded envelopes
   1. Invoice serves as the label in plastic sleeve
   2. Postage applied based on shipping address
   3. Total cost calculated and written on invoice
   4. Date sent written on invoice
   5. Package is put in U.S. Mail bin
   6. Invoice is given to Data Entry Clerk
4. USAID orders are packaged using reinforced nylon envelopes
   1. Preprinted labels are used for most orders
   2. Date sent written on order
   3. Package is put in appropriate USAID bin for DISC Courier delivery
   4. Original order is given to Data Entry Clerk

A.I.D. Development Information Services Clearinghouse
Operated by LTS Corporation under A.I.D. contract No. PDC 0232-C-00-0094-00
1500 Wilson Boulevard, Suite 1010, Arlington, VA 22209-2404, USA
Telephone: +1-703-351-4006 Fax: +1-703-351-4039
Internet: AIDDISC@capcon.net

SERVICE EVALUATION FORM

Please help us improve DISC services by completing and returning this brief form.

Name _____ DISC Order Number _____

Address _____ Date _____

_____

_____

Phone _____

1. Was your order complete? ☐ Yes ☐ No

2. Were the documents you received in good condition?

   ☐ Yes ☐ No

3. How much time elapsed between order date and receipt?

   ☐ 1 Day ☐ 1 Week ☐ 1 Month ☐ Over 1 Month

4. Who will use the material?

   ☐ USAID/Washington

   ☐ USAID/Mission

   ☐ Private Voluntary Organization

   ☐ Other

5. If you did not have access to the Development Information System, would you be able to acquire the needed information from other sources?

6. Please comment on the value of this information to your work.

Please return to: U.S. Agency for International Development, Center for Development Information and Evaluation, Development Information Services Clearinghouse, Service Evaluation Coordinator, PPC/CDIE/DI, Room 303, SA18, Washington DC 20523-1820.

Final Data Entry

USAID On-Line orders are updated with the date sent, REQUESTR number, and a full DISC ORDER# into the ORDERRD database. All other USAID orders are updated with the date sent into the ORDERRD database.

Shipped & Billed invoices are updated with the date sent, and total amount due

Filing Procedures

The Data Entry Clerk files all orders by DISC ORDER# in 3 categories:

1. Shipped & Billed
2. Invoice awaiting prepayment
3. All completed orders which includes all no charge (NC) orders, USAID orders, and paid orders

13.4.1 Invoicing Procedures

USAID orders are not invoiced since documents are sent free. However, all orders are entered into ORDERRD for tracking and statistical purposes. Invoices are prepared for all non-USAID orders.

For Domestic and Foreign orders an invoice is prepared and mailed with the order. If the order is under $30.00 the order is shipped and billed. If the order is over $30.00 prepayment is required and the invoice alone is sent to the requestor. NO CHARGE (NC) orders are also invoiced. This lets the customer know exactly what was sent and provides us with a paper trail of the order.

13.4.2 Payments for Materials Ordered from DISC

Background. In accordance with contract specifications spelled out in SOW § C.5.1 of the DISC Contract, (Page 35, ¶3), the DISC contractor is required to establish a direct-cost re-imbursement system for receiving payments from the public, other AID contractors, international development organizations, and/or missions who wish to purchase documents, microfiche, a/v materials, electronic media, computer software or optical (CD-ROM) discs containing AID-generated, AID sponsored, or AID-funded information. All monies recieved are to be reported regularly to USAID and are to be used to offset DISC operating costs. Funds received are to be deducted from the monthly invoice, and the DISC contractor is to use the funds to purchase materials and services in direct support of Clearinghouse operations.

13.4.2.1. Payment Processing Procedures

Payments for orders are received by the DDU Supervisor for processing.

Payments for **SHIPPED & BILLED** orders usually includes a reference to the DISC ORDER# which references the record/order entered into the ORDERRD database. Otherwise a search on the data fields: AMOUNT DUE and ATTN LINE are done in ORDERRD. A search on the data

fields: R010 (ADDRESS) in REQUESTR is also done. If no match is found and the payment does not appear to be a NEW prepaid order, the payment is returned to the customer for clarification.

If the DISC ORDER# is known, the payment information is entered into the ORDERRD database. The following is entered:

1. Date of Payment
2. Amount of Payment
3. Check Date
4. Check Name
5. Check Number
6. Date of Deposit

The invoice or accompanying paperwork is stamped "PAID" and "COMPLETED". The DISC ORDER# is noted on the payment for identification purposes and is put in the pending deposit money bag. The invoice is filed by the Data Entry Clerk.

Payments for **INVOICED ONLY** orders (invoices requiring prepayment) are usually received with reference to the DISC ORDER# which references the record/order entered into the ORDERRD database. Otherwise a search on the data fields: AMOUNT DUE and ATTN LINE are done in ORDERRD. A search on the data fields: R010 (ADDRESS) in REQUESTR is also done. If no match is found and the payment does not appear to be a NEW prepaid order, the payment is returned to the customer for clarification

If the DISC ORDER# is known, the payment information is entered into the ORDERRD database. The following is entered:

1. Date of Payment
2. Amount of Payment
3. Check Date
4. Check Name
5. Check Number
6. Date of Deposit*

The invoice or accompanying paperwork is then stamped "PAID" and the invoice is given to Order Fulfillment for processing. The DISC ORDER# is noted on the payment for identification purposes and is put in the pending deposit money bag.

PREPAID orders are handled both by the Supervisor and the Data Entry Clerk. The Supervisor stamps "PAID" on the original order as well as notes all payment information on the original order.

The original order with the payment attached is given to the Data Entry Clerk for entry into the REQUESTR and ORDERRD databases.

Once an invoice is generated the Supervisor reviews the original order and the invoice for accuracy. The payment information is entered into the ORDERRD database. The invoice is given to Order Fulfillment for processing.

*Deposits are done once per week by the Supervisor, usually on Fridays. The deposit receipt is turned into the Checking Account Clerk for entry into the Quicken System. Reports are ran by both the Checking Account Clerk and the DDU Supervisor and provided to the Project Director.

13.4.2.2 Processing Payments FROM DISC Checking Account

Overview. The DISC maintains a checking account to receive monies collected from the purchase of documents through DDU, purchase of CD-DIS, ARDA subscriptions, and receipts from distribution of the LAC databook.

Monthly receipts are deducted as a credit to USAID from the monthly LTS DISC invoice to USAID.

Quicken, an off-the-shelf, commercial checking account software package, is used to maintain the checking account register and to generate all reports from the account. Monthly reports (cashflow, transaction code, and check number) are prepared and distributed to Corporate Accounting Offices, the DISC Project Director, and the DDU Suprevisor.

Disbursements require management authorization approval prior to preparation of the check. The authorizing manager cannot be the same individual signing the check. A 3-part check is prepared, 2 copies are retained in the office files. See Exhibit 13.4-1 for a summary overview.

Checking Account

A Category and Transfer Code List (Exhibit 13.4-2) is maintained as part of the ***Quicken*** system to track income and expenditure by various input and disbursement actions.

Purchase of Books for WID, POP, DISC Offices

Purchased books for WID, POP, or DISC are tracked in CATRD (Catalog Database). When materials are requested a purchase order in triplicate is generated from CATRD, a copy of which is retained in the DISC files, 2 copies sent to the vendor. Procedures also permit the purchase of needed supplies and services using account funds, as necessary and as approved.

Ordered material is logged in as received, and the invoice received, the paperwork follows that required for payment of invoices.

Payment of Invoices

A Request for Payment Form (Exhibit 13.4-3) is completed for all invoices prior to payment. Checks are not issued prior to approval.

Steps to Invoice Payment

1. Outstanding invoice is received
2. A Request for Payment Form is prepared
3. Approval signature received
4. Data is entered into Quicken (Vendor, amount, date, transaction code)

5. Check is prepared
6. Check signature is received
7. Original and copy of invoice is sent to Vendor
8. Duplicate check and invoice copies are filed (yellow copy in bank file)

Bank Deposits

Bank deposits are made approximately weekly for checks received. Deposits from CD-DIS, DDU (including ARDA), LAC, etc. are coded and appear separately.

New categories are assigned as other discrete tracking is required.

Steps to Bank Deposits

1. A bank deposit slip is prepared
2. Deposit slip is copied for files

Monthly Reports

Monthly reports (cashflow, transaction code, and check number) are prepared and distributed to Corporate Accounting Offices, the DISC Project Director, and the DDU Supervisor.

Monthly (calendar) reports are prepared for Corporate HQs Accounting and Regional Office Accounting. Three regular reports are prepared: 1) A Cashflow report which indicates each transaction (13.4-4); 2) Transaction Report by check number (13.4-5); and 3) Transaction Report by category code (13.4-6).

Distribution as follows:

Monthly Report Distribution

	Cashflow	Transaction report by Check number	Transaction report by Category Code
Corporate HQs			
Regional Office			
DISC Project Dir.			
DDU Supervisor			

Reconciling Bank Statements

Original bank statements are sent to Corporate HQs. A copy of the bank statement is retained for DISC files.

1. Using ***Quicken,*** the checks which have cleared are marked with an *.
2. A Reconciliation Report is prepared

CD-DIS Subscriptions

Subscriptions to CD DIS are maintained in a database called SUBSCRIP (on MINISIS), tracked to the subscriber (date paid, amount paid, deposit date). 1) The ISN is written on the check, 2) the check is photocopied (1 copy) and retained in the CD-DIS Editor's files, 3) for deposits a hitfile of isn's is created (being deposited) and a job (cddisdep) is run which calculates total dollar amount, date of deposit, and total number of checks (isn count). 4) the CD-DIS Editor makes out deposit slip and keeps copies of CD-DIS checks. 5) the CD-DIS Editor gives Acquisitions Technician the deposit receipt after deposit is transacted.

CD-HANDBOOK Subscription

Payments for subscriptions to CD-Handbook are received by the DDU Supervisor. A record in the REQUESTR database is created. The monetary information along with the REQUESTR ISN number is entered into the ORDERRD database. The monies received are deposited separately from the regular payments received from document requests. The deposit receipt is given to the Acquisitions Technician after the deposit is made.

Exhibit 13.4-2

Category and Transfer Code List

Income		Expenses	
BT	Bank Account Transfer	B	Books (222HAB)
CDHB1	CD-Handbook 1 (222HDB)	BC	Bank Charge (222HAB)
CM	Credit Memo	C	CD-ROM (222HAB)
CT	LTS Check Transfer	HAB	Charge to 222-HAB
D	Deposit - Purch (222HAB)	HAB2	222HAB - Equip, Supp, Serv
DCD	Deposit - CD-DIS (222HAE)	HAB3	222HAB - On-line Services
DLAC	Deposit - LAC (PNABL054)	HAE	Charge to HAE for MATLS
DLAC2	Deposit - LAC (222HAK)	HAG	222HAG Training Services
Orders	ORDERRD	HAJ	AFR/Info Ctr (222HAJ)
WT	Wire Transfer	HBH	Charge to 222-HBH
		HCD	222HCD-IG-Core Serv Acct
		HDB	Handbooks on CD-ROM
		ILL	Interlibrary Loan (222HAB)
		JOO	Charge to 222-JOO (WRI)
		L	Special Collection (3742NS)
		M	Miscellaneous
		N01	ACCIS Manual 222N01
		O	OCLC (222HAB)
		OH	Overhead (222000)
		P	Population (222HAC)
		R	Refund (222HAB)
		R-CD	Refund - CD-DIS (222HAE)
		S	Serials (222HAB)
		SC	Special Collection
		T	Transfer of Funds
		TS	Tape Subscrip. OE Other
		V	Void
		W	WID (222HAD)
		CITIZENS	AID/DISC Account
		PUBS	PUBS Account Activity

Exhibit 13.4-3

DISC Request for Payment

Amount Requested: Purpose	Date of Request Charge Code Category
Remit to: Address	
Requested by Date	Approved by Date

DISC Request for Payment

Amount Requested: Purpose	Date of Request Charge Code Category
Remit to: Address	
Requested by Date	Approved by Date

13.4.3 Publications Not Available

The USAID DISC notifies clients via telephone or form letter that the document is temporarily out of stock or refers them to the proper source if not available through the DISC. Due to restrictions on some documents, the restrictive wording is printed on the invoice for non-USAID or communicated via email, telephone or form letter to USAIDs.

13.4.4 Quality Control

Quality control of documents provided in response to on-demand requests is the responsibility of **ALL** staff in the Document Distribution Unit. Quality control begins with the receipt of the document requests and follows through from data entry to order fulfillment. Guidelines are as follows:

* Each requests is reviewed by the Supervisor

* Each invoice (if generated) is reviewed by the Supervisor

* Each document pulled if from microfiche or the Paper Copy Library is checked against the document being requested for correctness

* Every document produced is reviewed for quality regardless of the type of reproduction, either made from microfiche to paper (blowback) or microfiche to microfiche (fiche). If the document is illegible either because of the source document or the fiche, the original document is acquired from the warehouse and a reproduction is made from the paper copy original and sent to the requestor. A note is added to the record in DOCRD to indicate the problem. A location of "PCL" is also added to the DOCRD record to enable DDU to identify those documents which are available in the paper copy library. If the fiche is bad the original document is sent to be refilmed.

* The Shipping Clerk provides the final QC by reviewing what was reproduced against what either the invoice or original order requested to be sent.

13.5 Mailing Policies

All orders are sent BOOK RATE for domestic orders and SURFACE RATE for Foreign orders, unless within the Metropolitan area then orders are sent First Class.

FIRST CLASS (outside the Metro area) and AIR OVERSEAS is available at the request of the requestor and their invoice is adjusted to handle the additional postage charges.

In addition, we use DHL, UPS and Federal Express when requested. USAID Mission orders are shipped through the Unclassified Air Pouch or APO/FPO, as specified by the requestor.

13.5.1 Packing Procedures

1. Make sure all fiche are cardboarded, i.e. one piece of cardboard placed on both sides of the fiche.

2. Non-jiffy bag for items being shipped USAID interoffice mail.

3. Make sure all labels have been taped to avoid them from becoming loose and falling off during transfer.

13.6 Deposit Account Procedures

1) $100.00 minimum balance required to establish and maintain deposit account.

2) If new account, send letter of acknowledgement with client's REQUESTR ISN# (serves as the account number)
3) Upon receipt of an order, an invoice is generated
4) Check balance remaining in account, if okay continue to process, if not okay, notify client
5) Enter "DEDUCTED FROM DEPOSIT ACCT" in the NOTES field in ORDERRD
6) Update ACCOUNT STATEMENT in WP file
7) Generate 2 copies of statement (CLIENT & FILE)

Note: A statement is only generated when activity occurs on the account or due to an inquiry. An update includes the receipt of additional funds.

13.7 ARDA Distribution Procedures

ARDA subscription order forms are sent out to all requestors. Prepayment is required. Certain free subscriptions are also sent out quarterly. All requests for free ARDA subscriptions are forwarded to USAID (Margaret Pope) for approval.

Some inquiries will concern the non-receipt of ARDA. In all cases, check the database to see if they will be receiving ARDA free. If yes, send the missing issue(s) as a NC claim with an invoice. If not, send the ARDA subscription information along with a note explaining that ARDA is no longer free.

13.7.1 ARDA Mailing Procedures

ARDA is issued and distributed on a quarterly basis. ARDA labels are generated from two databases, RECIPRD (free subscriptions) and REQUESTR (paid subscriptions). The ARDA COPY field should be included when generating labels to indicate the number of copies to be sent. A HITFILE from each database is sorted first by foreign and domestic and then by zip code.

Labels are affixed to specially designed ARDA envelopes (9 1/2 X 11 1/2) by the labeller equipment. A manual insert, class stamp and sorting are done by the DDU staff.

The ARDA mailing list is maintained on a continuous basis. When CDIE approves of an individual or organization to receive ARDA free or paid the databases are updated to include the recipients name as well as other pertinent data. Modification are made to the databases as required. are made accordingly.

ARDA Data Entry

When an ARDA Subscription form is received, the address and payment information is entered into the the REQUESTR database as a paid subscriber to ARDA. The field for "DISTRIBUTION TYPE" is entered with an R. This field denotes which addresses are ARDA Recipients.

13.7.2 Processing ARDA Checks

1) Use UPDATE function
2) Enter REQUESTR database 3) Locate Requestor
4) Verify address
5) Modify address if necessary
6) Add fields: (as appropriate)

CKNO	R290
NBR	R310
SUB	R320
QBEG	R330
QEND	R340

DATEPD R350
AMTPD R360
FREE R300
MAIL R390
DATEM R210

The payment information, ARDA recipient's name, REQUESTR number and DISC ORDER number are entered into the ORDERRD database. These payments are deposited as with other document requests payments. The deposit receipt slip is given to the Acquisition Technician for inclusion in the Quicken system.

13.7.3 Standing Fiche Orders

The DDU accepts standing microfiche orders for documents in ARDA. Currently there are 5 standing orders. These standing orders all have deposit accounts so that each issue distributed is deducted from the account.

13.7.4 ARDA Labels

Query REQUESTR database for paid recipients and RECIPRD for free subscriptions. Sort hitfiles by foreign, domestic and USAID. Save hitfiles and generate labels using the label generating program as follows.

:Run ADPMENU.ADPMENU;lib=p

Use the following tags for U.S. addresses. A.I.D./Washington and A.I.D./Missions (Air Pouch) for hitfiles created in REQUESTR.

ISN#
R010
R020
R030
R040
R050
R070, R080, R090

Use the following tags for foreign addresses

ISN#
R010
R020
R030
R040
R050
R070, R080, R090

In all cases use R310 for the number of copies.

13.8 Bulk Shipments Dissemination Services

Bulk quantities of documents are disseminated for various offices within USAID.
The following shows the associated USAID offices:

PPC Evaluation Series, Africa Bureau Information Center publications. The first two are mailed on an irregular basis, pending specific requests. After packaging, bulk mail is separated according to A.I.D./W, A.I.D./missions, Foreign and Domestic.

Techniques Americaines

The Techniques Americaines series consists of approximately 140 documents in French, some or all of which may be requested. The series is stored at the DISC warehouse.

Water for the World

Water for the World consists of 160 technical notes. The series is stored in the file cabinets by DOCID number in DDU. The cost is $20.00 plus $5.00 for shipping.

Population Documents

The DISC distributes subscriptions for the S&T/Population Office. Mailings are batched and mailed on a monthly basis. Labels are generated from 3 Population distribution lists from RECIPRD.
Population journal titles are ordered by Acquisitions.

USAID PPC Evaluation Publication Series

PPC Evaluation documents are among the most requested DISC titles and requests are received for both individual titles and for bulk quantities of these documents. Labels are generated on an individual basis.

The mailing list for PPC Evaluation Series distribution is maintained in RECIPRD. The list is broken down into to 2 categories: Priority (USAID/W, USAID Missions, DAC, Congress) and Secondary (Universities, Private Individuals, etc.) The mailing list is updated by the Acquisitions Technician.

13.9 Monthly Statistics Reporting

The on-demand monthly reporting is processed by changing dates in the streams jobs MONRECV and MONSENT. The date are to be changed for the month being reported. MONRECV uses the date received found in the j100 field (YYYYMMDD). MONSENT uses the date sent J460 field (YYMMDD). Once dates have been changed and saved, the jobs may be submitted. Note that the job streams DOCSENT1, DOCSENT2 and DOCSENT3 are automatically submitted by MONRECV and MONSENT.

Statistics on the number of requests received and sent. In addition, the number and format of documents, as well as the "Primary Subject Codes" distributed to the different types of requestors are reported each month in the Monthly Document Distribution Unit Report. Information to be included in this report is generated from the ORDERRD, ORDERDS, REQUESTR and ORDER3DS databases by submitting the above stream jobs.

The bulk mail monthly statistics is captured through QBULK for hitfile created in the RECIPRD database, as well as BULKR for hitfiles created in AIDRD (USAID RAMPS list). This information is then incorporated into a LOTUS spread sheet where the monthly reports and the cummulative reports are generated.

13.10 Warehouse Inventory/Management Program

The DOCRD database includes all documents kept in storage. These documents consist of: extras of PPC Evaluation Reports, PDPR Policy Papers, Techniques Americaines, A.I.D. Historical Collection, Inventory documents, the source documentation from PDs and PNs.

The DISC uses a records storage vendor for offsite storage. At present, it is Iron Mountain Records Management Inc. with their warehouse and vault facilities located in Springfield, VA.
The Iron Mountain warehouse maintains the bulk of the inventory collection. Whenever an original document is needed, it must be retrieved from Iron Mountain by the DISC courier. Regular trips are currently in effect on a weekly basis. If extraordinary circumstances require priority turnaround, special requests can be made to Iron

Mountain and they will deliver the document either the same day or within 24 hours. In the DOCRD database, there is a W-box listing to help facilitate the retrieval of documents for further processing.

Iron Mountain provides a quarterly listing of all holdings in their facilities. Ad hoc reports are available upon request.

DISC indicates a shelf copy is available in the D320 LOCATION field (i.e. S25I)

13.11 DISC Courier Route

The DISC courier route includes pick-ups and deliveries. The DDU Supervisor coordinates daily pick-up and deliveries of documents orders and/or requests. The current schedule is as follows:

DISC to SA-18 Room 105 (DIC)
SA-18 Room 105 to SA-18 Room 303 (3rd floor mailroom)
SA-18 Room 303 to SA-14 Room 1200B (if necessary) (Contracts)
SA-14 Room 1200B to State Mail Room
Mail Room to Room B930 NS
Room B930 NS to Room 2664 NS (ABIC)
Room 2664 to SA-2 Room 100 (CTIS)
SA-2 Room 100 to SA-18 Room 303
SA-18 Room 303 to DISC

The above deliveries are done daily. On Fridays a courier trip is made to the warehouse for any items which were requested. Courier routes begin at 2 pm on Mon, Tue, and Thurs., except for Wed and Friday they begin at 1 pm.

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14 Training and User Education

14.1 Overview

The purpose of the DISC Training function is to develop and conduct a training and user education program for all CDIE/DI-supported bibliographic information systems. As of FY 1994, these include the online Development Information System (DIS), and the CD-ROM version of the DIS, *CD-DIS*. MicroDIS, which was developed as a collection management tool for Mission and project-related information centers, is not actively promoted but is still supported. The characteristics, content and maintenance of each of these systems are described elsewhere in the manual.

For each system, the Trainer is responsible for: (1) promoting an understanding of system capabilities -- particularly in relation to other CDIE services -- through briefings, demonstrations, and written materials, (2) conducting training sessions, (3) maintaining communication with users and providing ongoing support as needed, (4) evaluating training and system use, (5) developing and maintaining user manuals, aids and general education materials, and (6) interacting with systems staff on an ongoing basis to both improve the user/system interface and keep abreast of new system features/changes. Details on how these activities are applied to each system are discussed below.

14.2 Minisis/DIS Training Activities

The primary Minisis/DIS user group is the CDIE Research and Reference Services staff, who dial into the system from personal computers in CDIE's Rosslyn offices and search DIS databases using Minisis commands.

Other AID/W offices periodically express an interest in and receive Minisis training. Experience to date has indicated, however, that Minisis training is only recommended for those offices and individuals intending to use the system on a regular, recurring basis.

Because the Minisis/DIS user group is relatively small (15-20 individuals), training is highly individualized and is conducted on an as needed basis (i.e., as staff change, or as skills need to be upgraded).

Training may be conducted at the DISC, or on-site, although the latter is not recommended in order to minimize interruptions. For new users, the training session often begins with a DISC overview and tour to familiarize them with the document handling process. Other components of the training session include: log-on and log-off procedures; an overview of DIS databases and relationships; practice in searching each database with QUERY commands and search techniques; use of REPORT, INDEX and PRINT; online ordering; and file maintenance. The number of training sessions and depth of coverage vary with the job duties of the individual and their previous search experience.

Ongoing contact is maintained primarily by telephone, with occasional "system update" meetings

and/or memos provided to announce changes and enhancements. A great deal of follow-up support is also provided on-thejob by co-workers in response to particular search problems. There is currently no formal method of evaluating Minisis/DIS training.

Each of the training topics is mirrored in a section of the DIS Mini-Manual. Also included in the Manual are various lists of codes, which may be used in searching some of the fields in DIS databases. This manual must be periodically updated to reflect new system features and changes in codes.

14.3 CD-DIS Support Activities

CD-DIS is designed for end-users who wish to access information in the DIS without extensive training in command-based searching. It also serves as a useful demonstration and briefing tool to help potential users understand what information is available in the DIS. Even if potential users choose not to conduct their own searches, CD-DIS demonstrations give them a better idea of what to ask for from CDIE's Research and Reference Service staff. Demonstration of the DIS also highlights the importance of contributing documents to the system to ensure comprehensiveness.

The primary, on-going CD-DIS user group accesses the system through several public workstations in the AID/W Development Information Center. These users have no formal training, but are provided with assistance from the Library staff as needed.

AID/W staff can also search CD-DIS in their offices if they have a CD-ROM reader or access to a CD-ROM server on their office network.

Evaluation of user experience with CD-DIS is provided through a periodic questionnaire. Users may also include their name and telephone number to obtain additional assistance.

CD-DIS training and user education materials currently consist of the CD-DIS User's Guide, and online HELP messages.

14.4 MicroDIS Support Activities

MicroDIS users include information center personnel in AID missions, projects, and related host country institutions; training is only routinely provided to those from AID missions, either onsite or in AID/W.

MicroDIS can be installed and used with reference to the MicroDIS Manual, and without formal training. Training does, however, speed the learning process. As with the systems mentioned above, MicroDIS training is tailored to the needs of the office/individual. Some MicroDIS installations have converted from established catalog procedures and formats; others are just beginning to organize document collections.

In general, training covers: installation; an overview of MicroDIS capabilities and concepts (e.g., fast access files; authority files); development of local authority files; development of MicroDIS cataloging guidelines; use of the functions of each module; backup and maintenance procedures; and problem solving. For users with little prior experience, training may cover general information management skills as well. On-thejob training for AID Mission information center staff is usually completed in half-day sessions over a two-week period. More time may be required for individuals with little prior experience. Individual features of the system can be demonstrated in one half-day session.

There is no mechanism for evaluating either MicroDIS or MicroDIS training, other than user feedback. Ongoing support is provided via telephone, letter, cable or ICS.

There are two major packages of documentation associated with the system: the MicroDIS Manual, and the MicroDIS Demonstration Package. Both are maintained in English, French and Spanish. In addition, a MicroDIS flyer is maintained as part of the CDIE briefing portfolio, and occasional articles and briefing papers are prepared.

14.5 Documentation Maintenance

The DIS Mini-Manual and CD-DIS User's Guide are formatted in PageMaker.

The MicroDIS Manual and Demonstration Package are maintained in English, Spanish and French versions in WordPerfect 5.1 files on the MicroDIS Administrator's PC. Paper copies for reproduction are located in the file cabinet next to that PC.

15.0 Bulk Dissemination Services

Bulk dissemination is performed by the Document Distribution Unit (DDU) located at the DISC. Bulk quantities of several different documents are disseminated at present. Included are: Technique Americaines, Water for the World, Population documents, PPC Evaluation Series, ARTS Newsletter, ARTS Abstracts, African Voices, Development Fund for Africa (DFA) for the Africa Bureau (ABIC), Specialized publications for the Office of Women in Development (WID), A.I.D. Research and Development Abstracts (ARDA), Acquisitions Lists: A.I.D. Technical Reports, A.I.D. Project Descriptions, and A.I.D. Evaluation Reports. In addition, the DDU also does monthly and/or quarterly bulk disseminations of the Current Contents Bulletins (5 sectors in total) as well as the Topical updates (12 sectors in total). The DDU also disseminates Requests & Responses monthly primarily for the R&RS staff.

The Technique Americaines and Water for the World are mailed on an irregular basis, pending specific requests. The Technique Americaines series consists of approximately 140 documents, some or all of which may be requested. Water for the World series consists of 160 technical notes which are frequently requested. Labels are generated on an individual basis for both of these series.

All other publications are disseminated from a predefined mailing list maintained in RECIPRD, AIDRD and/or REQUESTR databases.

Section 16
Technical Notes on DISC's Minicomputer System

16 Technical Notes on DISC's Minicomputer System OM16-1
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16.1 Overview of the DISC/HP Computer System Environment

The DISC/HP computer environment is described in a number of reference documents, and from a number of perspectives.

Descriptions of the microcomputer environment and the MicroDIS software maintained by the AID/DISC are included in Section 18 of this manual. The following references relate to the minicomputer environment at the AID/DISC.

16.1.1 System References

a. Data Base Dictionary

Each DISC MINISIS database and/or data set is described in a single record of the database, DBASERD.

b. MenuDIS documentation files in MENUDIS.MINISIS:

MENUIG	MenuDIS Installation Guide publication.
MENUUG	MenuDIS Users Guide publication.

c. System Development Group (SDG) files in SOS.SYSDOCS:

COBOLA00	Inventory of all DISC's COBOL Programs
COBOLM00	Overview of MenuDIS Programs
CSL00	The DISC's Use of Contributed Programs
DBMA00	DOCUMENT and PROJECTS elements' descriptions
EQUIP00	Inventory of Computer Equipment
EXCHG00	Index of Data Exchanges to/from DISC
FILES00	Principal DISC Files (by group and account)
MAIL00	The DISC's Use of Contributed Email System
MAINT00	MINISIS Database Maintenance Procedures
MINA00	Descriptions of DISC Databases/Master Files
ORDER00	Online Ordering System
SOFT00	HP and Other Software

d. Frequently Used Print Formats

An Editor file (DBSRCH) is displayed while in MINISIS' QUERY by keying 'FILES' in response to a > prompt. Its contents describe the most-used print formats.

16.1.2 System Description

The A.I.D./DISC operates an HP3000/947 minicomputer with 32 megabytes (MB) of memory. The following peripheral devices are attached to this computer (directly or remotely):

-- two (2) 7937H disc drives, each with a capacity of 571MB
-- one (1) C242R dual disc drive, each disc with a capacity of 1300MB
-- one (1) 7980A tape 9-track drive
-- one (1) C2475F 1300 MB DAT tape drive
-- one (1) 2345A datacommunications controller with 32 3-pin connectors suitable for hard-wired terminals or PCs
-- one (1) 2345A datacommunications controller with 24 15-pin connectors suitable for modems or hard-wired terminals or PCs
-- one (1) HP LaserJet 2000 printer
-- one (1) HP LaserJet printer
-- one (1) HP RuggedWriter printer
-- three (3) Racal-Vadic 2400 baud modems
-- one (1) HP SupportLink 1200 baud modem
-- ten (10) Intel 14.4ex modems
-- numerous and varied HP terminals and PCs

The computer is currently operated using MPE iX version B.40.00. Software currently in use on the HP3000 consists primarily of the MINISIS relational database software, HP COBOL, HP GlanceXL and various HP Utilities.

16.2 The design of the document dataset - DOCUMENT

The DOCUMENT data submodel (DS) has the following structure:

First component: DOCRD (components appear in parentheses)

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	B224/INSTAC	(DOCRD)	<*	B224/INSTAC	(INSTB22)	RD K
2.	B324/INSGAC	(DOCRD)	<*	B324/INSGAC	(INSTB32)	RD K
3.	B614/PUBAC	(DOCRD)	<*	B614/PUBAC	(INSTB61)	RD K
4.	ISN	(DOCRD)	<+	ISN	(DOCABST)	RD M
5.	D010/BIBTYP	(DOCRD)	<+	D010/BIBTYP	(BIBTYPE)	RD K
6.	C100/AIDGEO	(DOCRD)	<+	C100/AIDGEO	(AIDGEO)	RD K

Join rules 1 - 3 decode the institution authority code. INSTB22, INSTB32, and INSTB61 share the same KSAM file. Join rule 4 links to the abstract database. Abstracts are stored separately because of their large size. Join rule 5 decodes the bibliographic type code. Join rule 6 decodes the AID geographic code.

16.3 The design of the abstract database - DOCABST

The RD DOCABST contains the following fields:

Source document ID no.	SDOCID	P440	
Design abstract project no.	PROJ9		P450
Abstract	ABSTR		C310
First paragraph flag	PARA1		C311
Abstract paragraph	ABST	C312	

SDOCID and PROJ9 do not function as pointers. They identify the abstract so that the RD can be accessed independently and they also act as a safety device in case the project/document relationships need to be reconstructed. Also, SDOCID identifies the source of the abstract for the project user view. PROJ9 is used to indicate the abstract is a project abstract. This is helpful when printing an integrated project/document report: The abstract is prevented from being displayed twice. (DOCRD and PROJRD contain forward pointers to DOCABST ISN's.)

16.4 The design of project datasets - PROJECTS/PRJDOC/PRJDOC2

The following project data submodels build onto the same core set of project records, adding fields from other components.

16.4.1 The PROJECTS dataset

PROJECTS has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	P030/GEOCD	(PROJRD)	< +	P030/GEOCD	(GEO2)	RD K
2.	P010/PROJ7	(PROJRD)	< +	E000/PROJ7	(PRJATH2)	RD M
3.	P430/ABISN	(PROJRD)	< +	ISN	(PROJAB2)	PS M
4.	ISN	(PROJRD)	< +	ISN	(LOGFRAME)	RD M

Comments:

GEO2 is a redefinition (a.k.a. 'copy') of AIDGEO.

PRJATH2 is a redefinition of the RD PRJATHRD. PRJATH2 is used only as a component of project DS's with PROJRD as the root. The difference between PRJATH2 and PRJATHRD is

PRJATH2 uses a different set of Btrees for fast access fields. PRJATH2 Btrees point to PROJRD ISN's while PRJATHRD Btrees point to PRJATHRD ISN's. (PRJATHRD ISN's do not correspond with PROJRD ISN's. Some projects on PRJATHRD are not on PROJRD and vice versa.)

Having two RD's share the same master/xref file is a way of avoiding the less (CPU time) efficient PS structure. This works when only needing to redefine inversion criteria, not rename tags or some other PS function. The problem is that any change made to the main RD must also be made to the other RD.

PROJAB2 is a PS of DOCABST. It renames the tags so that they can be differentiated from document-level abstracts (see PRJDOC2).

LOGFRAME is an extention of the PROJRD record. ISN's match.

16.4.2 The PRJDOC dataset

PRJDOC supplies the same information as PROJECTS with additional document-level information. It has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp. Type
1.	P030/GEOCD	(PROJRD)	<+	P030/GEOCD	(GEO2)	RD K
2.	P010/PROJ7	(PROJRD)	<+	E000/PROJ7	(PRJATH2)	RD M
3.	P430/ABISN	(PROJRD)	<+	ISN	(PROJAB2)	PS M
4.	ISN	(PROJRD)	<+	ISN	(LOGFRAME)	RD M
5.	ISN	(PROJRD)	<+	ISN	(LINKRD)	RD M
6.	P701/DOCISN	(LINKRD)	<*	ISN	(DOC3PS)	PS M
7.	P703/BIBTYP	(DOC3PS)	<*	P703/BIBTYP	(BTYPP70)	RD K

Comments:

Join rules 1 - 4 are same as PROJECTS.

Join 5. LINKRD contains the following fields:

More documents on document DB?	MORE		P640 Related documents
	RELDOC	P700	
Document ISN	DOCISN	P701	

The DOCISN field is a pre-sorted list of DOCRD ISN's of all documents related to the current project. Documents are sorted by publication date. LINKRD is maintained automatically.

Join 6. DOC3PS projects selected fields from DOCRD, renaming tags for use in a left-inner join. A left-inner join was needed because a left outer join (such as used in PRJDOC2) was too slow for on-line browsing.

Join 7 decodes the bibliographic type code.

16.4.3 The PRJDOC2 database

PRJDOC2 has the same data as PROJECTS, plus full document-level data for related documents. It has the following structure:

First component: PROJRD

Join Rule	Preceding Tag/Mnem.	Source Comp.	Join Type	Current Tag/Mnem.	Current Comp.	Comp Type
1.	P030/GEOCD	(PROJRD)	< +	P030/GEOCD	(GEO2)	RDK
2.	P010/PROJ7	(PROJRD)	< +	E000/PROJ7	(PRJATH2)	RDM
3.	P430/ABISN	(PROJRD)	< +	ISN	(PROJAB2)	PSM
4.	ISN	(PROJRD)	< +	ISN	(LOGFRAME)	RDM
5.	ISN	(PROJRD)	< +	ISN	(LINKPS)	PSM
6.	P701/DOCISN	(LINKPS)	< +	ISN	(DOC2RD)	RDM
7.	D010/BIBTYP	(DOC2RD)	< +	D010/BIBTYP	(BIBTYPE)	RDK
8.	P701/DOCISN	(LINKPS)	< +	ISN	(DOCAB2)	RDM
9.	B224/INSTAC	(DOC2RD)	< *	B224/INSTAC	(INSTB22)	RDK
10.	B324/INSGAC	(DOC2RD)	< *	B324/INSGAC	(INSTB32)	RDK
11.	B614/PUBAC	(DOC2RD)	< *	B614/PUBAC	(INSTB61)	RDK

Comments:

Joins 1 - 4 are same as PROJECTS.

Join 5. LINKPS is a PS of LINKRD with flattening applied to field P700. It is important that a flattened PS be used and not the *FLATTEN command. Using LINKPS, if there is no data in P700 (i.e., there are no related documents) a DS record is still delivered up and includes the data retrieved up to that point in the joins. In contrast, if LINKRD is used with a *FLATTEN command and if there is no data in P700, no DS record results.

DOC2RD is a copy of the DOCRD database definition with all inversion turned off. See

comments under PROJECTS for explanation of two RD's sharing same master file. DOCAB2 is a copy of DOCABST.

Joins 7 - 11 assemble the same information as the DOCUMENT DS.

16.5 Maintaining the DIS structure

16.5.1 Maintaining LINKRD

The LINKRD database is used to maintain correspondence between projects and documents. It contains the same ISNs as PROJRD ... plus a repeating field of DOCID ISNs pertaining to the project, with related titles.

LINKRD is maintained by the batch job CLINK.STREAMS. The entire database is erased amd rebuilt during a run of CLINK.

16.5.2 Making changes to RD's

Since datasets may include several (relational) databases, i.e. RD's, it is important when making changes to a database to review the database dictionary (DBASERD) to see if other datasets are formed with the database as a component.

The existing document abstract loading program will have to be extended to handle the loading of two additional types of abstracts: project/document abstracts and project-only abstracts. The three types of abstract transaction files are described below. The transaction files contain new abstracts along with other data elements to be loaded onto other databases. The program should also be extended to handle updates. In general, the program will perform the following functions:

* validate the transaction file for correct format

* validate the transaction against the database, i.e. validate DOCID and project numbers, check if new or update, check for duplication, etc.

* update the database(s).

Validating the transaction file

Edit checks are described under each transaction type. Field lengths are defined in the DDT. Is it possible to let MINISIS check field lengths so we don't have to modify the program if, for example, we want to expand or shrink certain fields?

The program will validate mnemonics, delimited by a "!" (in column one) and a space. Additional spaces preceeding the first non-blank character should be ignored by the program. The program

should also ignore spaces preceeding the first line of a paragraph. (Abstractors tend to enter these as a form of indentation - although they shouldn't).

Clare periodically runs a batch job to validate descriptors. In the future, descriptors will be posted to a thesaurus KSAM file. The program may have to handle validation of descriptors.

Validating against the database

Certain key checks will have to be performed to ensure database integrity. These are described in detail under each transaction type. These checks will (1) validate DOCID and project numbers, (2) determine status of transaction (new record or update), (3) check for duplication, and (4) guard against the user attempting to change an abstract of one type to an abstract of another type without first deleting the former abstract.

Updating the database

Any transaction may either trigger creation of a new record or modify an existing matching record. If the transaction is modifying an existing record, the fields occuring in the transaction file replace the fields in the record (if they occur), or are added to the record (if they do not occur). If it is a repeating field, all occurances of the field should be replaced with what is in the transaction file. If the transaction file contains a field mnemonic with no data following on the same line, this should be interpreted as a field delete. Otherwise, all other fields in the database record are left as is.

For the duplication/validation features to work, the program should completely process each transaction file in turn rather than, for instance, validating all files first, then updating the database with the validated files.

Description of DOCABST

All abstracts are loaded onto the same master file (DABSTMF/XR) although not necessarily through the same database name. The RD database, DOCABST, contains 3 fields (see attached DDT):

Source document ID no.	SDOCID	P440
Design abstract project no.	PROJ9	P450
Abstract	ABSTR	C310
First paragraph flag	PARA1	C311
Abstract paragraph	ABST	C312

The following conditions should prevail for the 3 types of abstract records -

Data present in field	Abstract type	P440/SDOCID	P450/PROJ9	C311/ABST

1 Document	Y	N	Y
2 Project/document	Y	Y	Y
3 Project only	N	Y	Y

For document abstracts, the ISN and SDOCID match the ISN and DOCID on DOCRD. The PROJ9 field is blank.

For project/document abstracts, the ISN and SDOCID match the ISN and DOCID on DOCRD; the record on PROJRD with corresponding PROJ9 should contain the abstract ISN in ABISN field.

For project-only abstracts, the SDOCID field is blank; the abstract ISN should not be used on DOCRD; the record on PROJRD with corresponding PROJ9 should contain the abstract ISN in ABISN field.

SDOCID's should be unique on DOCABST (no two records should have the same SDOCID). PROJ9's should also be unique on DOCABST. The program should insure this.

Description of the three types of transactions

1. Document abstracts

   Abstracts are entered onto DOCABST database with the same ISN as the document on DOCRD. Existing DOCABST records are replaced. Descriptors and identifiers are added to existing records on DOCRD. Update both components simultaneously using the DS DOCABDS. DOCABDS structure:

   DOCRD
   ISN <+ ISN DOCABST

2. Project/Document abstracts

   These are abstracts of design documents entered onto DOCABST in the same manner as above. These abstracts, however, also have a project number which links it to the project database. A new record is created or an existing record modified on PROJRD and LOGFRAME with the data supplied along with the abstract. The same descriptors and identifiers are entered both on PROJRD and DOCRD.

   Use DOCABDS to update DOCABST and DOCRD. Use the DS PRJLF to update PROJRD and LOGFRAME. DS structure:

   PROJRD

ISN <+ ISN LOGFRAME

3. Project-only abstracts

These abstracts link with the project database but not with the document database (the DOCABST ISN is never used on DOCRD). This situation arises when a single document generates more than one project abstract. Abstracts from Congressional Presentations are of this type. "Basket" projects are also of this type. These are entered through PROJABST, a PS of DOCABST with a shared ISN numbering sequence with DOCRD.

PRJLF records are created or modified as above, but no DOCRD record is modified at all.

The presence of certain keys in the header of the transaction file serve to differentiate the three types. Document abstracts contain a !DOCID key. Project/document abstracts contain both a !DOCID as well as a !PROJ9 key. Project-only abstracts contain only a !PROJ9 key. See format specs below.

Specifications for Document Abstracts

Input

All files in XXXXXXX group are to be processed as document abstracts.

Format

Figure 8.1 is a sample document abstract. The format is the same used by the current abstract loading program.

The format for the heading is:

Line 1:	the draft status
Line 2:	abstractors initials
	(Additional notes or comments may be entered at this point; the program ignores all lines up to the first "!" below.)
Line 3:	"!ISN " plus the ISN of the document being abstracted
Line 4:	"!DOCID " plus the DOCID of the document being abstracted

A blank line separates the heading from the body of the abstract. Each paragraph is separated with a blank line.

At the end of the abstract, the literals "!DESCR " and "!IDENT " flag the beginning of the descriptor and identifier strings.

16.6 Specifications for the abstract loading program

Figure 1.2: Sample Document Type

Draft 1
MT
!ISN 1776
!DOCID PD-AAG-874

Evaluates project to provide the Government of the Republic of Cameroon (GORC) with a nationally replicable community development program. Evaluation covers the period 3/78-10/80 and is based on site visits, project document review, and interviews with GORC, USAID/C and project officials.

The project will not achieve its goals by the 6/81 completion date, nor does the GORC have the resources to replicate the contractor's Community Development Foundation (CDF) basic strategy or village cluster approach. The project has been adversely affected by the poor design of the original grant; the GORC's lack of involvement in project management; and the inability of CDF to sustain local initiative and support for activities too expensive and complex for villagers to carry out unaided.

Project output levels varied. Committees were formed in all nine project villages with subcommittees in water management, agriculture, and health/nutrition; village-level training was provided; and a development plan prepared. In the water resources component, 8 of 10 planned wells were dug (but are not yet functioning), 8 well diggers were trained, and 2 cisterns were constructed, but faulty equipment prevented the digging of artificial watering ponds. Under the agriculture component, all 50 shade trees were planted in each village, but no blacksmith training was provided and the reforestation/soil enrichment project was not initiated because additional trees were unavailable. Primary schools in Saoringwa and Sirlawe villages were constructed as planned and construction of two classrooms per village was begun, but the planned survey of non-formal education has not been conducted. Finally, in the health and nutrition program, 2 CDF field coordinators, 8 village health agents, and 6 of 10 planned birth attendants were trained, and a maternal/child health program was begun. Supplies and personnel are ready to operate health posts pending the approval of the Ministry of Public Health.

It is recommended that A.I.D.: terminate the project as planned; scrutinize more closely the technical and administrative feasibility of PVO projects; and stress to PVO's the importance of including beneficiaries in the project design and review process.

!DESCR /Community development/ /Cameroon/ - /Local participation/ /Private voluntary

organizations/

!IDENT /Onsite evaluation/ - /Health posts/

Validating the transaction file

Validate the mnemonics following "!". The only valid literals are:

!ISN	Mandatory
!DOCID	Mandatory
!DESCR	Mandatory
!IDENT	Optional

Any other character string following the "!" is an error and the abstract should be rejected from further processing.

The descriptor string must begin with a "/".

The identifier string may begin with either "/" or " - /" (space, dash, space, slash). The later character string begins the field when proposed descriptors are the only thing being entered in identifiers - the initial space is important in such cases. If the abstractor forgets the initial space and enters instead
"!IDENT - /term one/...", supply the initial space.

Validating against the database

Validate the DOCID and ISN - they should match those on DOCRD. Updating the database

If the transaction meets the above tests, then add or replace the following fields on DOCABDS:

Add !DOCID to P440/SDOCID.
Add !DESCR to C210/DESCR.
Add !IDENT to C220/IDENT.
Add current date to D680/DATEAB.
Add abstract paragraphs to C312/ABST.
Along with the first occurance of C312, the "first paragraph flag" of "Y" is added to C311/PARA1.

SPECIFICATIONS FOR PROJECT/DOCUMENT ABSTRACTS

Input

XXXXXXXX contains the abstracts to be processed. Some of the abstracts will be of the third type, i.e. project-only abstracts. If the header contains both a !DOCID and a !PROJ9, then the abstract is a project/document abstract.

Format

Figure 1.2 is a sample project/document abstract. The header is the same as the document abstracts except for some additional mnemonics.

Figure 1.3

Draft 1
BRP
!ISN 2215
!DOCID PD-AAJ-325
!PROJ9 4920334
!PTITLE Smaller Farmer Systems II
!ORGLOP 220

Project to institutionalize the Farm Systems Development Corporation's (FSDC) system of farmer-managed Irrigator Service Associations (ISA) and ISA provincial federations (KAISA) in the Philippines. Project consists mainly of constructing and expanding irrigation facilities and ISA/KAISA institutional development. FSDC will implement the project.

Thirty-four new gravity-fed irrigation systems will be built and 60 others rehabilitated in the lowland areas, and the ISA network will be extended and adapted to six upland pilot areas. Pilot area activities will include promoting income-generating activities on non-arable land and assessing the impact of upland erosion on lowland irrigation.

FSDC will provide organizational training to 220 new ISA's and ongoing training to 1,800 existing ISA's in areas such as rice cultivation, water management, and farm planning. To expand the system of KAISA's, now totalling 64, FSDC will provide technical assistance and procedures manuals, along with training in program and enterprise management for select KAISA board members and enterprise managers. FSDC will also cover, on a decreasing basis, initial KAISA development costs until KAISA's become self-sufficient. To the latter end, FSDC will lend KAISA's funds to develop income-generating enterprises providing low-cost farm-related services capable of reaching previously unserved areas. Six pilot enterprises relating to rice production will be stressed at first. If these are unsuccessful, project funds will be reallocated after discussions with FSDC (the same holds true for the pilot upland areas component).

Four long-term experts, two each in rural enterprises and farming systems, will assist FSDC and KAISA's in implementing KAISA and upland areas activities. FSDC will also receive a small

amount of grant funds to develop innvovative projects such as low-cost irrigation systems, fish and rice culture farming, and alternative energy sources. Finally, select FSDC and KAISA personnel will receive short-term participant training in such areas as irrigation and financial management, and a few FSDC staff members will receive U.S. and third-country degree training in public policy, agro-industry, and rural regional development.

!DESCR /Irrig canals/ /Instit building/ /Rural business/ /Philippines/ - /Coop mgmt trng/ /Business mgmt/ /Mgmt training/ /Farmer training/ /Partic training/ /Indigenous trng/ /Irrig research/

!IDENT /World Bank/ - /Irrigation association/

!GOAL Farmers realize optimum income potential from lands cultivated.

!PURPOSE To create an efficient, institutionalized, farmer-managed (KAISA/ISA--provincial federations of Irrigator Service Associations) system that provides small farmers with needed physical inputs, technology, and services for irrigation, production, processing, and marketing.

!OUTPUTS 1. New irrigation systems completed. 2. Irrigation systems improved. 3. ISA's established. 4. KAISA's managing ISA/Farmer training and technology extension services. 5. KAISA's developing income-generating activities. 6. Initial income-generating activities evaluated. 7. Initial upland farmer organizations created and operating. 8. Feasibility of this approach to improving upland farm production/income evaluated. 9. Variety of KAISA/FSDC (Farm Systems Development Corporation) staff trained. 10. Research projects completed.

!INPUTS 1. U.S. loan funds. 2. U.S. grant funds. 3. Government of the Philippines counterpart funds. 4. Technical assistance. 5. Participant training. 6. Commodities. 7. FSDC/KAISA staff resources. 8. Farmer-member support and investment.

!RELAID 4920320
!RELAID 4920156

Validating the transaction file

Validate mnemonics following "!". The only valid literals are:

!ISN	Mandatory
!DOCID	Mandatory
!PROJ9	Mandatory
!PTITLE	Mandatory
!SPTITLE	Optional
!ORGLOP	Optional

!NOTE	Optional
!DESCR	Mandatory
!IDENT	Optional
!GOAL	Optional
!PURPOSE	Optional
!OUTPUTS	Optional
!INPUTS	Optional
!RELAID	Optional

Any other character string following the "!" is an error and the abstract should be rejected from further processing.

!ORGLOP and !SPTITLE should be mutually exclusive; i.e., subproject-level records should not have an !ORGLOP.

!ORGLOP should be a positive integer.

The length of !PROJ9 key varies from 7 to 9 characters. The 8th and 9th characters are an optional subproject number; they should never be "00".

The descriptor string must begin with a "/".

The identifier string may begin with either "/" or " - /" (space, dash, space, slash). The later character string begins the field when proposed descriptors are the only thing being entered in identifiers - the initial space is important in such cases. If the abstractor forgets the initial space and enters instead "!IDENT - /term one/...", supply the initial space.

Validating against the database

On DOCABDS:

Read a record by ISN supplied in transaction file, make sure !DOCID matches A000/DOCID.

Verify that !PROJ9 is referenced in field D100/PROJ9.

Check for duplicate project abstracts. Do this by searching P450/PROJ9 using !PROJ9 data as the search key. If zero postings are retrieved, or if one posting is retrieved and it matches the ISN specified in the transaction file, then the abstract is not a duplicate. If the record retrieved has a different ISN, then the abstract is a duplicate and should be rejected. The user will have to delete the duplicate and process the transaction again or take some other appropriate corrective action. This will occur, for instance, when a formerly project-only-type abstract is updated to become a project/document-type abstract.

One further test. If zero postings are retrieved in the above search, check to see if there is already an abstract with the ISN specified in the transaction file. If there is, reject the transaction. This guards against the abstractor creating a five "basket" abstracts from the same document and attempting to treat them all as project/document abstracts (only one of them can be a project/document abstract, the rest must be project-only abstracts). Corrective action: The user must either change the transaction file to a project-only-type abstract or delete the existing project/document abstract from the system, then reprocess the transaction.

Updating the database

If the transaction meets the above tests, then add or replace the following fields on DOCABDS:

Add !DOCID to P440/SDOCID.
Add !PROJ9 to P450/PROJ9.
Add !DESCR to C210/DESCR.
Add !IDENT to C220/IDENT.
Add current date to D680/DATEAB.
Add abstract paragraphs to C312/ABST.
Along with the first occurance of C312, the "first paragraph flag" of "Y" is added to C311/PARA1.

On PRJLF, search P000/PROJ9 using the !PROJ9 key. If a record is retrieved, modify it. If no record is retrieved, create a new record.

Add !ISN to P430/ABISN.
Add !PROJ9 to P000/PROJ9.
Add first 7 characters of !PROJ9 to P010/PROJ7.
Add 8th and 9th characters of !PROJ9 (if present) to P020/SUBPROJ.
Add first three characters of !PROJ9 to P030/GEOCD. Add !PTITLE to P060/PTITLE
Add !SPTITLE to P080/SPTITL Add !ORGLOP to P230/ORGLOP Add !NOTE to P330/NOTE Add !DESCR to P400/DESCR Add !IDENT to P410/IDENT Add !GOAL to P520/GOAL Add !PURPOSE to P540/PURP Add !OUTPUTS to P560/OUTPUT Add !INPUTS to P580/INPUT Add !RELAID to P300/RELAID
Add current date to field P900/DATEAB and P940/DATEMO. If P900/DATEAB already exists, add current date to P940/DATEMO only.

Verifying the updates using PRINT

As a final job step, print the records added or modified using DB=PROJECTS, PF=PROJ18PF. The user will examine the printout to ensure the record was properly added. If experience shows that a full verify is unnecessary, we can switch print formats to display only P000/PROJ9, P060/PTITLE, and E080/STITLE. The user should always compare the two titles to make sure the DISC-entered title (PTITLE) is similar to the project authority file title (STITLE). This is one way of validating the project
number.

Specifications for Project-Only Abstracts

Input

Project-only abstracts are contained in the XXXXXX group. Project-only abstracts contain only a !PROJ9 in their headers.

If a transaction file in this group references an !ISN or !DOCID, it should be rejected.

Format

Figure 1.3 is a sample project-only abstract.

Figure 1.4

Draft 1
BRP
!PROJ9 492033401
!PTITLE Smaller Farmer Systems II
!SPTITLE Institution Building
!ORGLOP 220

Project to institutionalize the Farm Systems Development Corporation's (FSDC) system of farmer-managed Irrigator Service Associations (ISA) and ISA provincial federations (KAISA) in the Philippines. Project consists mainly of constructing and expanding irrigation facilities and ISA/KAISA institutional development. FSDC will implement the project.

Thirty-four new gravity-fed irrigation systems will be built and 60 others rehabilitated in the lowland areas, and the ISA network will be extended and adapted to six upland pilot areas. Pilot area activities will include promoting income-generating activities on non-arable land and assessing the impact of upland erosion on lowland irrigation.

FSDC will provide organizational training to 220 new ISA's and ongoing training to 1,800 existing

ISA's in areas such as rice cultivation, water management, and farm planning. To expand the system of KAISA's, now totalling 64, FSDC will provide technical assistance and procedures manuals, along with training in program and enterprise management for select KAISA board members and enterprise managers. FSDC will also cover, on a decreasing basis, initial KAISA development costs until KAISA's become self-sufficient. To the latter end, FSDC will lend KAISA's funds to develop income-generating enterprises providing low-cost farm-related services capable of reaching previously unserved areas. Six pilot enterprises relating to rice production will be stressed at first. If these are unsuccessful, project funds will be reallocated after discussions with FSDC (the same holds true for the pilot upland areas component).

Four long-term experts, two each in rural enterprises and farming systems, will assist FSDC and KAISA's in implementing KAISA and upland areas activities. FSDC will also receive a small amount of grant funds to develop innvovative projects such as low-cost irrigation systems, fish and rice culture farming, and alternative energy sources. Finally, select FSDC and KAISA personnel will receive short-term participant training in such areas as irrigation and financial management, and a few FSDC staff members will receive U.S. and third-country degree training in public policy,

agro-industry, and rural regional development.

!DESCR /Irrig canals/ /Instit building/ /Rural business/ /Philippines/ - /Coop mgmt trng/ /Business mgmt/ /Mgmt training/ /Farmer training/ /Partic training/ /Indigenous trng/ /Irrig research/

!IDENT /World Bank/ - /Irrigation association/

!GOAL Farmers realize optimum income potential from lands cultivated.

!PURPOSE To create an efficient, institutionalized, farmer-managed (KAISA/ISA--provincial federations of Irrigator Service Associations) system that provides small farmers with needed physical inputs, technology, and services for irrigation, production, processing, and marketing.

!OUTPUTS 1. New irrigation systems completed. 2. Irrigation systems improved. 3. ISA's established. 4. KAISA's managing ISA/Farmer training and technology extension services. 5. KAISA's developing income-generating activities. 6. Initial income-generating activities evaluated. 7. Initial upland farmer organizations created and operating. 8. Feasibility of this approach to improving upland farm production/income evaluated. 9. Variety of KAISA/FSDC (Farm Systems Development Corporation) staff trained. 10. Research projects completed.

!INPUTS 1. U.S. loan funds. 2. U.S. grant funds. 3. Government of the Philippines counterpart funds. 4. Technical assistance. 5. Participant training. 6. Commodities. 7. FSDC/KAISA staff resources. 8. Farmer-member support and investment.

!RELAID 4920320
!RELAID 4920156

Validating the transaction file

Same as for project/document abstracts except that !ISN and !DOCID mnemonics should not occur. If they do, reject the transaction.

Validating against the database

Use the PS PROJABST for duplicate checking. Search the P450/PROJ9 field using the !PROJ9 key. If no records are retrieved, add the record to PROJABST. If one record is retrieved, check to see if P440/SDOCID is present (which indicates that the existing abstract record is of the project/document type). If P440/SDOCID is absent, process the record as an update. If P440/SDOCID is present, reject the transaction with an error message something to effect of "Attempting to replace a project/document abstract with a project-only abstract. Transaction rejected." (This situation will arise if, for instance, the abstractor attempts to change an existing project/document abstract into a project-only abstract. The user should have deleted the original abstract first so that the replacement abstract will be treated as a new record with no link to the document database.)

Updating the database

No data is added to DOCRD.

Abstract should be loaded through PROJABST.

Do the same processing on PRJLF as with the project/document transactions, except:

> P440/SDOCID should be left blank.
> The program itself will have to capture the PROJABST ISN referenced above and put this ISN in PRJLF field P430/ABISN.

Verifying the updates using PRINT

Produce the same printout as with the project/document transactions.

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Section 17

Quality Assurance and Service Evaluation

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17 Quality Assurance

17.1 Introduction - Overview of responsibilities

The Quality Control/Assurance (QA) Coordinator is responsible for providing operations management and department heads with production statistics and qualitative analyses of their performances. These are necessary for managerial decisions as well as for responding to A.I.D. reporting requirements as detailed in the Statement of Work for the DISC Contract.

Statistics are collected directly from the department heads as well as from MINISIS. These are utilized to produce the statistical annex for:

1. Monthly management reports to PPC/CDIE/DI
2. Quarterly reports
3. Yearly reviews
4. Semi-annual service performance evaluations of selected departments, and other ad hoc analyses as assigned.

17.2 Monthly Report Preparation

During the first week of each month, statistics are collected to quantify the output of products and services generated by the DISC during the previous month. Numbers are collected primarily from a query stream job called MTHSTAT.STREAMS, but also from DISC department supervisors who run their own stream jobs and/or keep manual counts. The specific statistical categories tracked in the monthly report are listed below.

During the first five days of each month Monthly Statistical Report forms should be handed out to the department heads.Department supervisors or others who currently provide figures which are incorporated into the Monthly Statistical Report are:

Acquisitions:	Acquisitions Coordinator
Cataloging:	Cataloging Supervisor
Abstracting and Indexing:	Abstracting Supervisor
Cumalative Database Statistics:	System generated
Mailing List Maintenance:	Publications Supervisor
Publications:	Publications Supervisor
Microfilming:	Micrographics Supervisor
Document Distribution:	DDU Supervisor
Production Throughput:	System generated
System Usage:	SDG Systems Administrator

Collect the forms after about five days. By the 10th of each month, fill out a Report Preparation Form and find any missing data and load the statistics into the Lotus spreadsheet program in the color computer. The statistical annex of the Monthly Report is actually a printout of a Lotus worksheet

which performs all the calculations automatically and which is capable of sending its figures to the Quarterly and other reports. Except at the beginning of the Fiscal Year, use the previous month's report (i.e., for Feb retrieve FY89JAN.WK1 and then save it as FY89FEB.WK1) and fill in the latest column. Print out the four pages of the Lotus monthly spreadsheet on wide paper and reduce (usually 82%) to fit sideways on a normal 81/2 x 11 page. Valerie Milner will need the finished piece around the 12th.

Typically, wait at least until after the first weekend of the new month to run MTHSTAT.STREAMS. During the first few days of the new month some of the numbers to be searched receive completion dates related to the start of their processing (i.e., the previous month) and these will need to be picked up in your report. Before running MTHSTAT globally change the streamjob to reflect the new month to be searched (i.e., CHANGE "1992-06@" to "1992-07@" IN ALL): use HP Editor for this.

Listed below are the contents of each section of the statistical annex together with annotations about how to obtain the data either from MTHSTAT or from the Department Supervisors' forms and how to calculate or report each line item. Items calculated automatically by Lotus are marked "auto." A blank form for assembling all the data from the printouts and forms has been developed (currently titled FY89MFRM.WK1). Using this form ensures that all the necessary information is at hand before sitting down at the terminal.

Section A: DOCUMENT ACQUISITIONS

This section reports two activities: the numbers of AID and non-AID documents acquired from AID/W, USAID's, and A.I.D. contractors, and the number of non-A.I.D. documents ordered and received from commercial publishers. The dollar amount spent for these materials is also recorded.

A.1. A.I.D. Document Acquisitions:
(All A.1. items from a report submitted by Acquisitions.)

A.1.a. PD Docs. Sent for Cataloging:
A.1.b. PN Docs. Sent for Cataloging:
A.1.c. Miscellaneous Docs. Processed:
(On Acquisitions Report = Non-priority documents.)
A.1.d. Duplicates:
A.1.e. Total No. of Docs. Processed:
Sum of A.1.a, .b, .c, + .d. (auto)

A.2. Non-AID Document Activities
A.2.a. Book Titles
1. Title Ordered:
(CATRD)
= ORDATE 1988-nn@ (current month)
2. Titles Received:
= DATREC 1988-nn@ (current month)

A.2.b. Expenditures

1. Spent Current Month:

   Valerie Milner provides summary of purchases.

2. Spent FY to Date:

   Sum of new spending (A.2.b.1.) and last month's (A.2.b.2.) (auto)

3. FY 9X Funds Remaining:

   The amount of funds remaining to be spent for publications from FY 89 budget of $50,000.00. Subtract amount in A.2.b.2. from last month's

A.2.b.3. (auto)

Section B: DOCUMENT CATALOGING

This section relates the number and type of AID-sponsored documents (either technical-PN or project-PD) that are cataloged or modified on the DOCRD or INVRD databases each month. In addition, the number of documents notcataloged but stored in the DISC warehouse is recorded. These low-priority documents are boxed approximately 50 documents to a box and a rough estimate of the quantity is kept. Finally, the number of non-AID materials entered into the CATRD database is tracked.

B.1. A.I.D. Materials

B.1.a. Total Docs. in Queue:

Running total of the documents being stored at the warehouse. Equals last month's B.1.l. (auto)

B.1.b. Total Added to Queue:
Documents added to the warehouse.
Sum of B.1.e.3. + B.1.f.3. (auto)

B.1.c. Total Discarded From Queue:
No. of warehouse documents which Cataloging has discarded. (Cataloging report: 50 docs x # boxes).

B.1.d. Total Processed From Queue:
No. of warehouse documents taken from warehouse to DISC for cataloging (Cataloging report: 50 docs.x # boxes).

B.1.e. PD Docs. Processed:
No. of project documents cataloged.
Sum of B.1.e.1. and B.1.e.2. (auto)

B.1.e.1. Added to DOCUMENT:
No. of project documents cataloged on DOCRD. (DOCRD)

= DATEEN 1988-nn@ (current month) ANY BIBTYP ANY PD

B.1.e.2. Added to INVENTORY:
No. of project documents cataloged on INVRD (INVRD)
= DATEIN 1988-nn@ (current month) AND BIBTYP PRESENT AND NOT BIBTYP 62

B.1.e.3. Added to Unproc. Queue:
Count of number of boxes of uncataloged project materials going to warehouse. (Cataloging report: 50 docs x # boxes) or obtained from: (INVRD)

= DATEIN 1988-nn@ AND TITLE UNPROCESSED DOCUMENT

B.1.f. PN Docs. Processed:
No. of technical documents cataloged.
Sum of B.1.f.1. and B.1.f.2. (auto)

B.1.f.1. Added to DOCUMENT:
No. of technical documents cataloged on DOCRD. (DOCRD)
= DATEEN 1988-nn@ (current month) ANY BIBTYP ANY PN

B.1.f.2 Added to INV:
Number of technical documents cataloged on INVRD.
(INVRD) + DATEIN 1988-nn@ AND BIBTYP PRESENT AND BIBTYP 62

B.1.f.3. Added to Unprocessed Queue:
See B.1.e.3.

B.1.g. Total Docs. Proc. DOCUMENT:
Sum of B.1.e.1. and B.1.f.1. (auto)

B.1.h. Total Docs. Proc. INVRD:
Sum of B.1.e.2. and B.1.f.2. (auto)

B.1.i. Total Docs. Processed:
Sum of B.1.g. and B.1.h. (auto)

B.1.j. No. of Modifications to DOCRD:
Number of changes made to DOCRD database. Cataloging report

B.1.k. No. of Duplicates Found:
No. of incoming documents found to be already on DIS. Cataloging report.

B.1.l. New Queue Total:
Sum of (B.1.a. + B.1.b.) minus (B.1.c + B.1.d.)

Notes:

Once the search is performed for B.1.g, MTHSTAT checks to see whether there are any documents which are not PD or PN. If it turns up any, it then checks to see if they are PC documents; if they are, include them in the technical document count. If they are anything else, ask the Catalog Supervisor what to do with them. If they are PN or PD documents but not included in the above files, let the System Manager know, since this may mean that the inverted file for BIBTYP needs to be reinverted. The missed records may be browsed using statuspf.pf to determine when they were entered. If they were all entered on the same day it may mean that INVDAILY was not run on that day.

Typically, the Cataloging Supervisor will provide the number of boxes and documents sent to the DISC warehouse on the form, or search INVRD by DATEEN (current month) and TITLE "Unprocessed Documents". Each record with "Unprocessed Documents" in TITLE represents one warehouse box. Save a hitfile of these records and print them using IVNPF (the default) format; Linda Brilhart can assist in determining which boxes are technical and which are project document types. Use 50 documents/box to calculate the number of documents sent to the warehouse. If there are any records with DATEEN for the month of the report and not in either group above print a listing of them -- they are potential problem documents. Linda Brilhart can help resolve these problems. The statistics for "Sent to the warehouse" and "Added to inventory" may need to be redone after these problems have been resolved.

B.2. Non-AID Materials

This section provides the number of documents placed on CATALOG. Documents cited on CATALOG are non-AID documents ordered for the A.I.D. Library.

B.2.a. CATALOG db Processing:

B.2.a.1. Orders Cataloged:

There are two types of orders that are cataloged: normal orders and standing orders. Both involve the purchase of commercially-produced materials by A.I.D. Normal orders are made for specific book titles and are received within a few weeks of ordering. Standing orders are requests for books which are published in series form annually and semi-annually. The receipt of standing orders may take several months. Documents are ordered in advance before the next issue is published. This count represents both types of orders.

(CATRD)
= DATEPC 1988-nn@ (current month) CALLNO PRESENT
AND ACQTYP ORD

B.2.a.2. Gifts Cataloged:

Documents received as gifts since 10/84 and subsequently approved by CDIE/DI for library shelving.

= DATEPC 1988-nn@ (current month)
CALLNO PRESENT
AND ACQTYP GIFT

B.2.a.3. Retrospective Cataloging:

No. of older library reference documents cataloged (given a call no.)

= DATEPC 1988-nn@ (current month)
CALLNO PRESENT
AND ACQTYP RET

B.2.a.4. Total Cataloged:

Total no. of documents placed on CATALOG. Sum of B.2.b.1. through b.5. (auto)

B.2.b. Call Nos. Added to DOCRD: Provided by Dept. Supervisor

Section C: ABSTRACTING/INDEXING

This section relates the number of AID-sponsored project and technical documents which were abstracted and/or indexed each month and it breaks them down by type. It records the number of author-supplied abstracts that were edited and DISC-generated abstracts that were written, and it gives for each the number of new (1984+) project design documents, retrospective (pre-1984) design documents, evaluations, and technical documents abstracted for the reporting period. Finally, it records the number of changes made to the Thesaurus.

C.1. Abstracts Added To DOCUMENT:
Sum of C.1.a and C.1.b. (auto)

C.1.a. DISC-Generated Abstracts:
Sum of C.1.a.1,.2,.3 (auto)

Original DISC abstracts added to DOCUMENT. (DOCRD)
= DATEAB 1988-nn@ (current month) AND NOT ABST AUTHOR ABSTRACT

C.1.a.1. Project Documents: (i.e., PD's)
Sum of C.1.a.1.a,.b,.c (auto) AND BIBTYP ANY DD

C.1.a.1.a. Post-1984 Design Docs.: AND YEAR 1984@
3
AND YEAR 1985@
3
AND YEAR 1986@
3
AND YEAR 1987@
3
AND YEAR 1988@
3
AND YEAR 1989@
4 or 6 or 8 or 10 or 12 or 14

C.1.a.1.b. Pre-1984 Design Docs.:
3 AND NOT 13

C.1.a.1.c. Evaluations:
2 (C.1.a)
AND BIBTYP ANY EVAL

C.1.a.2. Amendments:

These abstracts are appended to their primary design document record on PROJECTS. Because their abstracts are not placed separately on DOCUMENT, MTHSTAT searches in PROJECTS.

(Assume PROJECTS = DOCUMENT) (PROJECTS)
= DATEMO 1988-nn@ (current month) AND ABST AMENDMENT

C.1.a.3. Technical Documents: (i.e., PN's)
2 (C.1.a.)
AND BIBTYP ANY PN

C.1.b. Edited Author-Prepared Abstracts:
Sum of C.1.b.1.+.2 (auto)
(DOCRD)
= DATEAB 1988-nn@ (current month) AND ABST AUTHOR ABSTRACT

C.1.b.1. Project Documents:
Sum of C.1.b.1.a,.b., + .c. (auto)
AND BIBTYP ANY DD

C.1.b.1.a. Post-1984 Design Docs.:
AND YEAR 1984@

3
AND YEAR 1985@
3
AND YEAR 1986@
3
AND YEAR 1987@
3
AND YEAR 1988@
3
AND YEAR 1989@
4 or 6 or 8 or 10 or 12 or 14

C.1.b.1.b. Pre-1984 Design Docs.:
3 AND NOT 13

C.1.b.1.c. Evaluations:
2 (C.1.b.)
AND BIBTYP ANY EVAL

C.1.b.2. Technical Documents: (i.e., PN's)
2 (C.1.b.)
ANY BIBTYP ANY PN

C.2. Abstracts Added Only to PROJECTS:

Sum of C.2.a. + .b. (auto)

Not all records on PROJECTS are linked to a specific document record on the DOCUMENT database. If a project paper is unavailable, one or more other relevant documents are used for the abstract.

(PROJECTS)
= DATEAB 1988-nn@ (current month) AND SDOCID ABSENT

C.2.a. DISC-Generated Abstracts:
(Remainder of C.2. - C.2.b.)
2 AND NOT 6

C.2.b. Edited Author-prep. Abstracts:
AND ABST CP 1989 (or current year CP) 2
AND ABST AUTHOR ABSTRACT
3 OR 5

C.3. Total No. Abstracts Added to DIS:
Sum of C.3.a. + .b. (auto)

C.3.a. DISC-Generated:
Sum of C.1.a. + C.2.a. (auto)

C.3.b. Edited Author-prep. Abstracts:
Sum of C.1.b. + C.2.b. (auto)

C.4. Documents Indexed Only:
Sum of C.4.a + b. (auto) (DOCUMENT)
= DATEIN 1988-nn@ (current month)

C.4.a. Project Documents:
AND BIBTYP ANY PD

C.4.b. Technical Documents:
1
AND BIBTYP ANY PN
2 OR 4
1 AND NOT 5
AND BIBTYP ANY PC
(If PC, count as PN. If not, browse to see)

C.5. Documents Reindexed:
Not currently recorded.

C.6. Proposed AID Thesaurus Changes:
Kept manually by the Thesaurus Manager (Clare Imholtz)

Section D: CUMULATIVE DATA BASE STATISTICS

Reflects the approximate total (ISN's) of records present at the end of the month on eight major data bases.

D.1. DOCUMENT (DOCRD)
DB DOCRD
= DATEEN 1988-nn@ (current month) BROWSE, LAST 1

D.2. INVENTORY (INVRD):
DB INVRD
= DATEIN 1988-nn@ (current month BROWSE, LAST 1

D.3. SERIALS (SERRD):
DB SERRD
= ISN = 1/9999
(Use last ISN number)

D.4. PROJECTS (PROJRD):

DB PROJRD
= ISN = 1/9999
(Use last ISN number)

D.5. CATALOG (CATRD):

DB CATRD
= DATEEN 1988-nn@ (current month) BROWSE, LAST 1

D.6. INSTITUTIONAL AUTHORITY (INST2RD):

DB INST2RD
= ISN = 1/9999
(Use last ISN number)

D.7. RECIPIENTS (RECIPRD:

DB RECIPRD
= ISN = 1/9999
(Use last ISN number)

D.8 BANK (BANKRD) DB BANKRD
= ISN = 1/9999
(Use last ISN number)

Note: In MTHSTAT BANKRD appears before RECIPRD so as to avoid having to close RECIPRD and reopen it for the following section.

Section E: MAILING LIST MAINTENANCE

This section provides the number of institutions or individuals who currently receive ARDA or other AID publications, and bulk mailings.

E.1. RECIPRD Record Transactions:

E.1.a. Additions:

(RECIPRD)
= DATEEN 1988-nn@ (current month)

E.1.b. Modifications:

DATEEM 1988-nn@

E.2. Total no. of ARDA Recipients:

(RECIPRD) APUB a

E.3. Total No. Evaluation Recipients: (RECIPRD) APUB e

E.4. Requests for labels:

E.4.a. Total No. Requests:
Kept manually by Publications Supervisor (Roger Reynolds).

E.4.b. Total No. Labels:
Kept manually by Publications Supervisor (Roger Reynolds).

Section F: PUBLICATIONS

The DISC edits and distributes several bibliographic publications for A.I.D. (called Special Bibliographies) which advertise collections of related materials that are available to users. AID Research and Development Abstracts (ARDA) is the principal one and its count is maintained separately.

All statistics are contributed by the Publications Supervisor (Roger Reynolds) and come directly from the form.

F.1. ARDA:

F.1.a. No. of Docs. Abstracted:
The number of documents selected for the current issue of ARDA which have been abstracted to date. Each ARDA issue contains approximately 100 abstracts and is prepared for publication soon after the abstracted total reaches this. Note: remember to state the relevant vol.#/issue#. Also, do not repeat the vol/iss number, just give the correct # of docs currently abstracted (i.e., 50, 75, 100) until it is mailed.

F.1.b. Date Mailed:
F.1.c. No. Copies Printed:

F.2. Special Bibliographies:

F.2.a. No. Bibliographies Issued:
F.2.b. No. of Copies/Issue:

F.3. Acquisitions Lists:
Each Acquisitions List enumerates new documents which have been added to the DIS and which are related to one another by document type or content. They are now produced on a quarterly basis; that is, three lists rotating so that they are one per month. These lists are sent to specific A.I.D. users to keep them updated on what is available.

F.3.a. No. Lists Distributed:
F.3.b. No. Copies Distributed:

Section G: FILMING REPORT

This section summarizes the activities of the micrographics department. CORE filming (i.e., making fiche copies of each doc) and distribution is the main focus of this report. Also included is an overview of other AID-supported micrographic activities. (Geobureau filming is covered in a separate report and is therefore not included here.) All filming statistics come directly from the form filled out by Ken Clarke, while distribution calculations are automatically performed by the Lotus program on last month's data.

G.1. No. Documents Prepared for Filming:
Sum of G.1.a and G.1.b. (auto)

G.1.a. PD Docs. Sent to Filming:

G.1.b. PN Docs. Sent to Filming:

G.1.c. Total Frames Prepped:
Number of pages prepared before the document is actually filmed.

G.2. Filming Totals:

G.2.a. Total Docs. Filmed:
Sum of G.2.a.1 and G.2.a.2 (auto)

G.2.a.1. Total PD Docs.:

G.2.a.2. Total PN Docs.:

G.2.b. Total Fiche Filmed:
Sum of G.2.b.1. and G.2.b.2. (auto)

G.2.b.1. Total PD Fiche:

G.2.b.2. Total PN Fiche:

G.2.c. Total Frames Filmed:
Sum of G.2.c.1. and G.2.c.2 (auto)

G.2.c.1. Total PD Frames:

G.2.c.2. Total PN Frames:

G.3. Duplicate Fiche Production:
(All G.3. are auto calc)

G.3.a. No. of Masters:

Number of first generation fiche.

G.3.b. Total PD Fiche Duplicates:

Multiply number in G.2.b.1 by 3.
This is the number currently distributed.

G.3.c. Total PN Fiche Duplicates:

Multiply number in G.2.b.2 by 10.
This is the number currently distributed.

G.3.d. Total (PD&PN) Fiche:

Sum of G.3.b. and G.3.c.

G.4. Fiche Distribution:

All figures assume this month distribution of last month's fiche production. (All G.4. are auto calc.)

G.4.a. Total (PD&PN) Fiche Filmed:

(Equals last month's Total Docs. Filmed G.2.a.)

G.4.b. Fiche Set Distribution:

The combined number of PD and PN fiche sets distributed each month.

G.4.b.1. PD Fiche Dist. (3 sets)

G.4.b.1.a. No. PD Fiche Docs.

(Equals last month's Total PD Docs. G.2.a.1.)

G.4.b.1.b. No. PD Fiche:

(Equals last month's Total PD Fiche G.2.b.1.)

G.4.b.1.b.Total PD Fiche Distributed:

(Equals 3 times G.4.b.1.a.)

G.4.b.2. PN Fiche Dist. (10 sets):

G.4.b.2.a. No. PN Fiche Docs.:

(Equals last month's Total PN Docs. G.2.a.2.) (Note: Use this number X 3 for quarterly report's "Standing Order Docs. Sent". See next chapter.)

G.4.b.2.b. No. PN Fiche:

(Equals last month's Total PN Fiche G.2.b.2.)

G.4.b.2.c. Total PN Fiche Distributed:
(Equals 10 times G.4.b.2.b.)

G.5. DataBase Tape Exchanges:
On a periodic basis Cairo, IDRC, and other requestors are sent tapes of all completely processed PN records placed on DIS since their last shipment. (From form from Ken Clarke)

G.6. PN Index Distribution: 13 sets.
(Currently there is no regular mechanism for this function.) Indexes refer to the distributed fiche collections. (From form)

G.7. PD Index Distribution:
2 sets. (Irregular) (From form)

Section H: DOCUMENT DISTRIBUTION

This section reports the number of documents and types of copies requested from, and sent out by the DISC according to the category of requestor. Raw figures are reported by the User Services Supervisor (Sue Ellen Hersh) who returns a form with them. Before being used in this report they must be processed by another Lotus program called USER89.WK1 and a copy of this monthly form and yearly cumulative form must be generated for inclusion in the Monthly Report. This has become the duty of the QC Coordinator. From this Lotus printout come the category totals which are printed here.

H.1. No. Documents Requested:

H.1.a. Priority I (1 Day):
Documents requested by top-priority users, i.e. AID/W, AID/Missions, and AID contractors. These orders are filled within one working day. (Total Docs. column, Priority I row)

H.1.b. Priority II (3 Days):
Documents requested by LDC institutions and PVO's. These orders are filled within three working days.
(Total Docs. column, Priority II row)

H.1.c. Priority III (7 Days):
Documents requested by the general public, universities, and other Developed Country Institutions. These orders are filled within seven working days.
(Total Docs. column, Priority III row)

H.2. Type of Copy Requested:

H.2.a. Fiche (diazo copies):
(Fiche Copies column, On-Demand row)

H.2.b. Paper Blowbacks:
(Paper Blowbks. column, On-Demand row)

H.2.c. Paper copy in Stock:
(Stock Copies column, On-Demand row)

H.3. Bulk Distribution (No. Copies):
The DISC acts as the central mailing point for various other publications. All of these figures are in the Bulk Distribution area under the Total Docs. column.

H.3.a. CDIE Publications:

H.3.b. Population:
S&T/POP Bulletin.

H.3.c. R&RS Newsletter:
Newsletter from the A.I.D. Research and Reference Services (Library).

H.3.d. Portfolios:
Portfolios which describe CDIE and the DISC

H.3.e. ARDA:
Only the current issue; old issues have regular PN numbers.

H.3.f. World Bank Documents:
The DISC distributes some World Bank documents to A.I.D. staff. This is a new category as of 5/88.

H.3.g. Acquisitions Lists:
See F.3.b.; should be equal

H.3.h. Other:

Section I: PRODUCTION THROUGHPUT (AVERAGE TIME PER DOC.)

This section shows the average time spent per document at each stage of the processing operation.

I.1. A.I.D. Document Cataloging:
DB DOCRD
= DATEEN 1988-nn@ (current month)
DATEPM PRESENT

SHOW AVG DATE(DATEPM)-DATE(DATEEN) (note: .10 = 10 days)

I.2 Core Filming:

(DOCRD)
= DATERM 1988-nn@ (current month)
DATEPM PRESENT
SHOW AVG DATE(DATERM)-DATE(DATEPM)

I.3. Abstracting/Indexing/Editing:

(DOCRD)
= DATEAB 1988-nn@ (current mo.)
DATESA PRESENT
SHOW AVG DATE(DATEIN)-DATE(DATESA)

I.4. Indexing of Index-Only Docs.:

(DOCRD)
= DATEIN 1988-nn@ (current mo.)
DATESA PRESENT
SHOW AVG DATE(DATEIN)-DATE(DATESA)

Note: The A/I or other Supervisor may ask for certain documents whose processing was delayed to be withheld from these calculations. In this case, re-perform this search by hand.

Section J: ADP SYSTEM USAGE

A summary, which can not be taken literally, of computer and printer usage during the reporting period. All statistics come from Ron Wiles or Chris Dines.

J.1. No. Minisis Users:

J.2. No. Dial up Ports:

The number of phone modems in use at the DISC and in AID's offices. A manual count from the System Manager.

J.3. CPU Usage (All Groups):

J.3.a. No. of Sessions:
(Approximately 3,000)

J.3.b. Total CPU Hours:
(Approximatley 300; may need to divide figure by 3600)

J.3.c. Total Logon Hours:
(Approximately 6,000; may need to divide figure by 60)

J.4. CPU Usage (A.I.D. Users):

J.4.a. No. of Sessions:
(Approximately 1,000)

J.4.b. Total CPU Hours: (Approximately 40)

J.4.c. Total Logon Hours: (Approximately 1,500)

J.5. Printer Usage:

J.5.a. No. of Print Sessions: (Approximately 2,000)

J.5.b. Lines Printed HP Printer: (n.n million)

J.5.c. Total Sectors Used: (nnn,nnn)

J.6. Total Disk Space Used: (n.n MB)

17.3 Quarterly Report Preparation

The Quarterly Report is a "stand-alone" report in that the QA coordinator provides both the statistics and their analysis.

As these data come directly from the monthly statistics, the required Lotus files reside in the color computer. All files begin with the letters QC*... They have been written so that once called up, they can be commanded with resident macros to seek out the correct months' worksheets, find and read a certain range, import this range, distribute it to the right column, and then recalculate the entire quarterly worksheet. Before doing this, prepare each of the relevant monthly worksheets (FY89*...) so that they have separated out and saved the correct range. Since this is only a small cut of the monthly statistics, it may be easier to re-enter some of these statistics by hand. Once the data are inside the quarterly worksheet and have been calculated, totals for the quarter appear. To the right of this column are arrayed the totals for the preceding five quarters (including that of the corresponding quarter from the previous fiscal year). Comparisons can then be made based on these totals, and Lotus can generate graphs to illustrate these comparisons. Check earlier reports for typical graphs and check the Lotus worksheet (/Graph Name) for those which are attached to existing quarterly worksheets. Since different areas are highlighted each quarter, new types of graphs will need to be developed. These graphs, the statistics, and your analyses are written up and sent through management to the A.I.D. Project Officer, currently Lee White.

17.4 Annual Review

Cumulative statistical totals for the year are generally produced immediately following the end of the fiscal year (September 30).

LOTUS accomplishes this easily. Just make a column at the right of your September worksheet and have it sum the previous twelve months. Next to this, create a column which divides the total by 12 for a monthly average, and then create a column which compares the actual average versus the stated targets. There is no need to go beyond this or to provide more analysis for this report.

Each year in November or December the DISC submits to DI a more comprehensive Annual Report. In this, each DISC department reviews its accomplishments from the previous year and projects activities for the coming year. Generally, the QA coordinator supplies statistics and graphics for the report, especially a multi-year comparison of the major output indicators (as used in the quarterly reports) from FY 1985 on, based on the target outputs specified in the scope of work.

Graphs are created in Lotus (remember both to /Name Create and to /Save the graph and then /File Save the whole worksheet, or your efforts will be lost) and enhanced in HP Gallery (e.g., to modify type, sizes, print, colors, etc.). To do this, use DOS to COPY your file from \QC to \GALLERY\USER. Then enter HPGallery and use the "Get" keys to "Get the Worksheet" and the graph which can then "Save" as its own picture. Additional analyses for the Annual Report may also be required.

17.5 Service Evaluations

Twice per year a broader analysis is conducted of the operations of one of the DISC's departments for the purpose of making management or procedural decisions. This departmental analysis should look at production statistics, and for those departments serving the public, sample user reactions. The statistics come from the regular monthly and quarterly reports and from new data developed specifically for this evaluation, but, in general, the purpose of these evaluations is to go beyond the statistics.

The QC Coordinator works with the Director and Deputy Director of Operations Management to identify the department to be evaluated, intent, scope, questions to be used, and presentation. Since the intent of the review is to prompt improvements in operations, it is also important that a disinterested and dispassionate attitude be maintained. Such an objective attitude toward the department and the head of the department being evaluated is important because there will inevitably be mistrust of motives when the evaluation is conducted.

For departments involved in information dissemination and outreach activities, review of User Response Forms is invaluable. In addition to the form User Services sends with each order, the Systems Development Group (SDG) provides statistics each month which tabulate user responses to questions which MENUDIS asks at the end of each session. Other departments do not generally work with the public and thus do not maintain tools for gauging user satisfaction.

In the most recent Service Evaluation conducted - of User Services, August, 1988 - in addition to examining error rates and problems with orders, special attention was paid to analyzing the percentage of classes of ordering parties according to their priorities. The analysis confirmed that the department had increased its production while decreasing its errors to a very low rate and that the

most important targets for documents were AID/W, USAID's, and AID Contractors, as expected. Response times for filling orders within the DISC were universally less than the the maximum allowed (from one to seven days depending on the requestor's category) although actual document receipt time was dependent on the transportation method utilized (courier, pouch, surface mail, etc.), something over which the DISC has no control.

Generally, User Surveys go first to the Deputy Operations Manager and are then passed on the the QA Coordinator. Keep them in a file until they can be analyzed. Since this is the main way users report problems it is important to open the returns, read them, and direct them to the proper staff member as soon as possible.

Summary of DIS Processing Guidelines for Bibliographic Type Codes

DOC TYPE	PN/PD	BIB COD	BIBLIOGRAPHIC TYPE
D	PD	1	Project Identification Document (PID)
D	PD	2	Approved Proposal (Solicited or Unsolicited)
T	PN	3	Almanac
T	PN	4	Atlas/Map
T	PN	5	Dictionary
T	PN	6	Directory/Catalog
T	PN	7	Encyclopedia
T	PN	8	Thesaurus
P	PC	9	Congressional Study Mission (is frequently evaluative)
P	PC	9	Congressional Hearing/Testimony/Legislation
E	PD	10	Project Appraisal Report (PAR)*
E	PD	14	Project Evaluation Report (PER)*
E	PD	15	Evaluation Summary (ES)
E	PD	15	Project Evaluation Summary (PES)
P	PD	16	Sector Assessment
E	PN/PD	17	Cross-cutting Evaluation
E	PN/PD	17	Special Report (evaluative)
E/T	PN/PD	17	Special Evaluation (technical)
E	PN/PD	17	Impact Evaluation
E	PD	18	Audit
	PC	19	Non-A.I.D. Evaluation
D	PD	20	Concept Paper (when used in lieu of a PID)
P	PN	21	Workshop/Conference/Seminar Report
P/T	PN	21	Speech
D	PD	22	Program Assistance Initial Paper (PAIP)
D	PD	22	Program Assistance Review Document (PARD)
D	PD	22	Program Assistance Initial Document (PAID)
T	PN	23	Journal Article/Monographic Analytic
P	PN	24	Policy Paper/Policy Statement/Strategy Statement
D	PD	25	Project Review Paper (PRP)*
	PN	26	Environmental Assessment
D	PD/PN	27	Work Plan/Project Design/Implementation Plan
	PD/PN	28	Project Evaluation Guide
D	PD	29	Project Concept Paper (PCP - PRE)
D	PD	29	Investment Opportunity Proposal (IOP - PRE)
D	PD	29	Activity Identification Memorandum (AIM - Afghanistan)
	PD	36	Development/Extended Risk Guaranty Paper (DEV/EXT)
	PD	37	Loan Agreement (country to country agreements)
D	PD	38	Limited Scope Grant Agreement
D	PD	38	Letter Grant Agreement
D	PD	38	PL 480 Grant Agreement
D	PD	38	Grant Agreement (PROAG)
P	PN	39	Congressional Presentation (CP)
D/T	PD/PN	41	Feasibility Study
D	PD	42	Project Paper (PP)/Amendment
	PD	43	Non-Capital Assistance Project Proposal (PROP)*
D	PD	44	Operational Program Grant (OPG)
D	PD	45	Development Grant Program (DGP)
D	PD	46	Housing Guaranty (HG)

D	PD	47	Program Assistance Approval Document (PAAD)/Amendment
D	PD	48	Private Enterprise Paper (PEP - PRE)
D	PD	48	Investment Proposal (IP - PRE)
D	PD	49	Not Elsewhere Classified Design Document (NECDD)
D	PD	49	Resources Support Services Agreement (RSSA)
D	PD	49	Participating Agency Service Agreement (PASA)
D	PD	49	Project Implementation Order/Technical (PIO/T)
D	PD	49	Individual Activity Agreement (IAA - SPA/SDA)
D	PD	50	Activity Approval Memorandum (AAM - Afghanistan)
D	PD	50	Authorization/Action Memoorandum
T	PD/PN	52	Annual Report
T	PN	53	Semi-Annual Report
T	PN	53	Quarterly Report
T	PN	53	Status Report
T	PN	53	Periodic Report
T	PN	53	Project Implementation [Status] Report (PIR/PISR)
T	PN	53	Monthly Report
T	PN	54	Thesis/Dissertation
		55	Periodical
T	PN	56	Case Study
D	PD	57	Loan Paper/Capital Assistance Paper (CAP)*
T	PN	58	Bibliography/Index/Literature Review
T	PD	59	End-of-Tour Report
D/E	PD	60	Cable
T	PN	62	A.I.D.-Supported Study
T	PN	62	Final Report (technical)
		63	Non-A.I.D. Research Study
		64	Non.A.I.D. Program/Projet Design Document
T	PN	65	Handbook/Manual/Guide, etc.
		66	Monograph
T	PN	67	Reference Work
E	PD	68	Final Report (evaluative)
E	PD	68	Project [Assistance] Completion Report (PACR/PCR)
P	PD/PN	70	Discussion Paper/Issues Paper
		72	Airgram
D	PD	81	Cooperative Agreement (country to institution agreements)
D	PD	81	Specific Support Grant Agreement
D	PD	81	Operational Program Grant
D	PD	81	Matching Grant Agreement
D	PD	81	[Collaborative] Grant Agreement
D	PD	81	Contract
T	PN	90	Statistical Report/Summary Data
T	PD	92	Trip Report
T	PN	93	State of the Art Review
P	PD	94	Concept Paper (when used as a societal country-specific, regional or sectoral study.....
P	PD	94	Action Plan (AP)
P	PN	95	Limited Program Strategy Plan (LPSP - AFR)+
P	PN	95	Regional Development Strategy Statement (RDSS)
P	PN	95	Country Development Strategy Statement (CDSS)
P	PN	95	Country Program Strategy Plan (CPSP - AFR)+
P	PN	95	Small Program Strategy Statement (SPSS)
P	PN	95	Central Program Strategy Statement (CPSS)
P	PD	96	Annual Budget Submission (ABS)
P	PN	97	Economic Analysis

P	PN	97	Social Analysis
P	PN	97	Political Analysis
P	PN	97	Sociological Survey (Combination of Social, Economic, Political)
P	PD	98	"Program Document"
	PD/PN	99	Miscellaneous Project Document/Memo of Understanding

03-May-96

AID CLASSIFICATION CODES

**********Simplified**********

AA00	Agriculture and Food
AA20	Agricultural research
AA40	Agricultural policy
AC00	Agricultural education
AC10	Agricultural extension
AD00	Agricultural management
AD10	Agricultural cooperatives
AD40	Farming systems
AE00	Agricultural economics
AE20	Agricultural markets
AE40	Agribusiness
AE50	Agricultural finance
AE51	Agricultural credit
AF00	Crop production
AF20	Soil sciences
AF30	Plant breeding
AF40	Plant physiology
AH00	Crop protection
AH10	Crop pests
AH20	Crop diseases
AH30	Weeds
AJ00	Crops (General)
AL00	Animal husbandry
AM00	Aquaculture
AN00	Agricultural technology
AP00	Water resources
AP20	Irrigation
AP30	Environmental disasters
AP31	Drought
AQ00	Food processing
AS00	Food aid programs
AS20	Emergency food distribution
AS30	Food for Peace
AS40	Food supply
BA00	Communication (general)
BA40	Communications policy
BB00	Communication skills
BC00	Languages
BD00	Communication media
BH00	Information
BH30	Information management
BH60	Information centers
BH61	Libraries
CA00	Culture and society

CA30	Cultural development
CA40	Cultural policy
CA50	Cultural relations
CC00	Folk culture
CD00	Arts
CD20	Handicrafts
CD30	Music
CJ00	Religion

DA00	Economics (general)
DA20	Economic research
DA30	Economic development
DA40	Economic policy
DA50	Economic reform
DA60	Economic conditions
DB00	Economic assistance
DC00	Economic cooperation
DD00	Finance
DL00	Economic administration
DL21	Public sector
DL22	Private sector
DL23	Informal sector
DL30	Privatization
DL41	Monetary systems
DL50	Economic legislation
DM10	Economic models
DN00	Economic analysis
DP00	International trade
DR00	Markets
DR20	Prices
DT00	Business enterprises
DT60	Cooperatives

EA00	Education (general)
EA20	Educational research
EA40	Educational policy
EC00	Educational materials
ED10	Educational economics
EF20	Primary education
EF30	Secondary education
EF40	Higher education
EF50	Vocational training
EF60	Teacher education
EF80	Adult education
EF81	Literacy instruction
EF82	Participant training
EG00	Development education
EK00	Educational methods
EK20	Nonformal education

EL00	Educational facilities

FA00	Energy (general)
FA20	Energy research
FA30	Energy resource development
FA40	Energy policy
FB00	Energy resources
FC70	Electric power
FD00	Energy technology
FE00	Energy supply

JA00	Government and law (general)
JA30	Political development
JA31	Democracy
JA40	Political behavior
JA70	Government policy
JB00	Public administration
JB20	Public records
JB40	Elections
JC00	Government programs
JC20	Foreign assistance
JC25	Humanitarian assistance
JC28	Development administration
JD00	Laws and legislation
JF00	Security
JG00	International politics
JH00	War
JH30	Internal conflict

KA00	Health and Nutrition
KA20	Health research
KA40	Health policy
KA60	Health records
KA70	Health delivery
KA80	Medical equipment
KA90	Environmental health
KB00	Medical sciences
KC30	Health education
KD00	Health care
KD60	Primary health care
KD80	Community health care
KD90	Maternal child health care
KE00	Nutrition
KE70	Nutrition education
KE80	Malnutrition
KE90	Famine
KF00	Health facilities

KG00	Health personnel
KG40	Traditional health workers
KH00	Diseases
KJ00	Safety
KJ30	Disasters
KJ61	Emergency relief
KJ62	Disaster relief

LA05	Human settlements
LA50	Community development
LB40	Regional development
LB50	Urban development
LB60	Rural development
LC00	Housing
LC30	Housing administration
LC40	Housing policy
LC60	Housing economics
LC80	Housing conditions

MA00	Industry and technology (general)
MA40	Industrial policy
MA50	Industrial development
MB00	Materials
MC20	Industrial facilities
MC30	Industrial technology
MC40	Industrial management
MC50	Tourist industry
MD00	Technology
MD30	Appropriate technology
MD60	Technological development

NA00	Labor (general)
NA40	Labor policy
NA50	Labor economics
NA51	Labor market
NA52	Labor force
NA60	Labor supply
NA70	Labor relations
NA71	Labor unions
NA80	Employment
NB00	Occupations
NC00	Personnel management

PA00	Management (general)
PA30	Management education
PB00	Management operations

PB05	Management methods
PB100	Evaluation
PB120	Financial management
PB20	System design
PB30	Planning
PB40	Policy making
PB50	Coordinating
PB70	Supply management
PB80	Delivery systems
PB90	Implementation
PC00	Organizations
PC31	Private voluntary organizations
RA00	Natural resources and the environment (general)
RA20	Environmental research
RA40	Environmental policy
RB00	Natural resources (general)
RB10	Marine resources
RB30	Animal resources
RB40	Forest resources
RB50	Land resources
RB60	Plant resources
RC00	Ecology
RC30	Biological diversity
RD00	Environmental management
RD10	Natural resource management
RE00	Environmental protection
RE10	Natural resource conservation
RF00	Environmental degradation
RF10	Pollution
RF30	Natural resource depletion
SA00	Population and demography (general)
SA20	Family planning research
SA30	Family planning policy
SB00	Population characteristics
SC00	Population groups
SD00	Population surveys
SE00	Demography
SE20	Population growth
SE30	Fertility
SE40	Mortality
SE50	Migration
SF00	Vital statistics
SG40	Family planning services
SG41	Family planning education
TA00	Science

TA10	Research (general)
TA14	Research methodology
TA15	Data collection
TA16	Surveys
TA17	Data analysis
TA19	Research organizations
TB00	Statistics
TB30	Operations research
TC00	Earth sciences
TD00	Biology

UA00	Sociology (general)
UA20	Sociology research
UA30	Anthropology research
UA40	Socioeconomic development
UB10	Human rights
UC00	Quality of life
UD00	Social problems
UF00	Marriage and the family
UG00	Women in development
UH00	Social structure
UH05	Social change
UJ00	Psychology

WA00	Transportation (general)
WA40	Transportation policy
WB00	Land transportation
WB10	Road transportation
WC00	Water transportation
WF40	Transportation system design
WF50	Transportation system construction
WF60	Transportation system repair
WF61	Road maintenance
WF70	Transportation industry

GEOGRAPHIC CODES (GEOCODES)

000 US
002 United States and District of Columbia
004 Puerto Rico
005 Virgin Islands
007 Pacific Islands
008 Guam
009 Canal Zone
109 Germany, Federal Republic
110 New Independent States [see also 164]
111 Armenia
112 Azerbaijan
113 Byelarus
114 Georgia
115 Kazakhastan
116 Kyrgyzstan
117 Moldova
118 Russia
119 Tajikistan
120 Turkmenistan
121 Ukraine
122 Uzbekistan
131 Austria
132 Belgium
134 Malta
136 Denmark
137 Finland
138 France
143 Iceland
144 Ireland
145 Italy
146 Luxembourg
147 Netherlands
148 Norway
150 Portugal
152 Spain
153 Sweden
154 Switzerland
155 Armenian Earthquake
156 USSR
157 Great Britain
158 Yugoslavia
160 Croatia
161 Estonia
162 Latvia
163 Lithuania
164 New Independent States [see also 110]
165 Macedonia
166 Slovenia
168 Bosnia and Hercegovina
180 Eastern Europe
181 Poland
183 Bulgaria
184 Czechoslovakia
185 Hungary
186 Romania
190 International Fund for Ireland
192 Czech Republic
193 Slovakia
231 Bahrain
233 Cyprus
240 Greece
263 Egypt
265 Iran
266 Iraq
268 Lebanon
271 Israel
272 Oman
273 Saudi Arabia
274 Qatar
276 Syria
277 Turkey
278 Jordan
279 Yemen
281 United Arab Emirates
290 CENTO
292 Gaza Strip
293 West Bank
294 West Bank/Gaza
298 Near East Regional
306 Afghanistan
367 Nepal
383 Sri Lanka
386 India
388 Bangladesh
391 Pakistan
398 Asia and Near East Regional
399 ASEAN
410 Southeast Asia Contingency Fund
432 North Korea
435 China, People's Republic of
438 Mongolia
439 Laos
440 Vietnam
442 Cambodia
478 Hong Kong
480 Singapore
482 Burma
483 Malaysia

GEOGRAPHIC CODES (GEOCODES)

484 China, Republic of (Taiwan)
485 Brunei
488 Japan
489 Korea, Republic of
491 Western Samoa
492 Philippines
493 Thailand
497 Indonesia
498 Asia Regional
499 Foreign Affairs DP Center/Bangkok
501 Bahamas
502 Bermuda
504 Guyana
505 Belize
506 Aruba
507 Netherlands Antilles
508 Suriname
510 Argentina
511 Bolivia
512 Brazil
513 Chile
514 Colombia
515 Costa Rica
516 Cuba
517 Dominican Republic
518 Ecuador
519 El Salvador
520 Guatemala
521 Haiti
522 Honduras
523 Mexico
524 Nicaragua
525 Panama
526 Paraguay
527 Peru
528 Uruguay
529 Venezuela
531 West Indies
532 Jamaica
533 Trinidad and Tobago
534 Barbados
538 Other West Indies-Eastern Caribbean Reg
541 Antigua and Barbuda
542 Dominica
543 Grenada
544 Montserrat
545 St. Kitts and Nevis
546 St. Lucia
547 St. Vincent and the Grenadines
548 Anguilla
555 Andean Narcotics Initiative
591 French Guiana
592 Guadeloupe
593 Martinique
594 Contras
595 Andean Regional
596 Reg Office Cen America & Panama-ROCAP
597 Central America Regional
598 Latin American Regional
602 Comoros
603 Djibouti
608 Morocco
611 Zambia
612 Malawi
613 Zimbabwe
615 Kenya
617 Uganda
618 East Africa (Regional Dev Office)
620 Nigeria
621 Tanzania
623 REDSO/EA
624 REDSO/WA
625 Sahel Regional
626 Area Development Office - Niamey
627 Area Development Office - Yaounde
628 Area Development Office - Dakar
631 Cameroon
632 Lesotho
633 Botswana
635 Gambia
636 Sierra Leone
638 Algeria
641 Ghana
642 Mauritius
645 Swaziland
649 Somalia
650 Sudan
651 Spanish Africa
653 Equatorial Guinea
654 Angola
655 Cape Verde
656 Mozambique
657 Guinea-Bissau
658 Sao Tome and Principe
659 Portugese - Speaking Africa
660 Zaire
661 Eritrea
662 Seychelles
663 Ethiopia
664 Tunisia

GEOGRAPHIC CODES (GEOCODES)

669 Liberia
670 Libya
673 Namibia
674 South Africa
675 Guinea
676 Central African Republic
677 Chad
678 Gabon
679 Congo
680 Benin
681 Ivory Coast [Cote d'Ivoire]
682 Mauritania
683 Niger
685 Senegal
686 Burkina Faso
687 Madagascar
688 Mali
689 Entente States
690 Southern Africa Regional
693 Togo
695 Burundi
696 Rwanda
697 Regional U.S. AID/Africa
698 African Regional
703 Canada
730 Vietnam (South), Republic of
870 Solomon Islands
871 Gilbert and Ellice Islands
872 Tuvalu
873 Kiribati
879 South Pacific Regional
880 Australia
882 Fiji
883 Pitcairn (and adjacent islands)
886 Tahiti
887 Tonga
888 New Caledonia
889 Papua New Guinea
890 New Zealand
891 Vanuatu
900 Interagency Development Coordination
904 Food for Peace
906 Women in Development
907 Labor Affairs
908 Public Safety
912 Housing
913 American Schools and Hospitals Abroad
922 Country Financed Technical Services
923 International Narcotics Control
925 Engineering
926 International Training
930 Program and Policy Coordination
931 Technical Assistance
932 Population and Humanitarian Assistance
933 Intragovernmental and Int'l Affairs
935 Policy Planning and Coordination
936 Development Support
938 Private and Development Cooperation
940 Private Enterprise
942 AID Administrator
968 Foreign Disaster Assistance
999 Special requirements

AID/DIHF
OPERATIONS MANUAL

Section 1.4
Glossary

AID/S&T/DIU — AID, Bureau of Science and Technology, Development Information and Utilization Service.

ANALYTIC — An item which is not issued separately, but as a part of a larger bibliographic entity, e.g. chapter in a book, article in a periodical, section in a report.

ARDA — A.I.D. Research and Development Abstracts, a quarterly abstract journal produced by AID/DIHF.

BIBLIOGRAPHIC LEVEL

The level(s) of analysis for a given documentary unit. The four bibliographic levels are: analytic (A), monographic (M), collective (C), and serial (S).

BREF — Old database under INQUIRE, contained project documents.

CDIE — Center for Development Information & Evaluation as in PPC/CDIE/DI

COLLECTION — An item comprised of two or more physical pieces issued at once or over a predetermined period of time, e.g. multivolume report, multivolume encyclopedia, etc.

COORS — Contract On-line Reporting System, AID's contract management database.

DI — Development Information Division of CDIE (see above)

DIC — AID Development Information Center. The DIC is located at Rm 105 Rosslyn Plaza C Building. DIC is also a term applied to certain mission libraries.

DIHF — The AID Document and Information Handling Facility now known as DISC.

DISC — AID Development Information Services Clearinghouse

DIU — Office of Development Information and Utilization, Bureau of Science and Technology, Agency for International Development (no longer current)

DOCUMENTARY UNIT

Any discrete item which merits individual treatment and, thus, its own bibliographic record on the data base. It may be an extract from a larger document or a document which is complete in one or more physical parts.

Examples include an article from a periodical, a report, a multivolume encyclopedia, etc.

DS — MINISIS Data Submodel. The database structure which can relate two or more RD's or PS's through a series of join rules. The resulting database appears logically as a file containing records with fields from two or more physical files.

ES — Evaluation Summary, formerly PES (see below)

ESDS — Economic and Social Data Services Division (part of POL/CDIE/E).

GENERIC DOCUMENT

A monograph or collection from which a chapter or section has been extracted to be treated as a documentary unit.

IDRC — International Development Research Centre (Canadian government agency, located in Ottawa Canada, developers of MINISIS)

ISBN — International Standard Book Number

ISDS — International Serials Data System

ISN — Internal Sequence Number. A number assigned to each MINISIS record uniquely identifying it to the system.

ISO — International Organization for Standardization

ISSN — International Standard Serial Number

KSAM FILE — HP's "Keyed Sequential Access Method" file structure. Used by MINISIS for authority and decode files.

MONOGRAPH — An item issued as a single physical piece which is complete in its own right, e.g. book, report, one part of a multivolume work bearing its own title, etc.

MONOGRAPHIC SERIES

A group of separate items issued in succession and related to one another by the fact that each bears, in addition to its own title, a common title applying to the group as a whole. Each issue in a monographic series has its own separate pagination. A monographic series differs from a collection in that it is intended to continue indefinitely.

PBAR	Planning, Budgeting, Accounting, and Reporting System. The current authority file of AID project numbers and titles.
PERIODICAL	A serial issued at regular intervals, at least annually, where each issue contains separate articles, contributions, etc.
PES	Project Evaluation Summary
PP	Project Paper
PRO/AG	Project Agreement
PS	MINISIS Projected Subset. The database structure which limits what a user can see from an underlying physical file (RD). RD fields may be excluded from the PS; fields may be renamed for the PS; and certain records may be excluded from the PS user view. See DS.
PASA	Participanting Agency Services Agreement.
RANDD	Old database under INQUIRE, contained AID-funded research and development documents as well as some project documents produced by AID contractors.
RD	MINISIS Relational Definition. The simplest database structure; one-to-one correspondence between user view and the physical file. See PS, DS.
RSSA	Resource Support Services Agreement.
SERIAL	A publication issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. Serials are normally issued by the same publisher or organization, in a uniform style and format. Serials include periodicals, newspapers, annual reports, yearbooks, and monographic series.

ISO Language Codes

Language Symbol	ENGLISH
AB	Abkhazian
OM	(Afarn) Oromo
AS	Afar
AF	Afrikaans
AQ	Albanian
AM	Amharic
AR	Arabic
HY	American
AS	Assamese
AY	Aymara
AZ	Azerbaijani
BA	Bashkir
EU	Basque
BN	Bengali; Bangia
DZ	Bhutani
BH	Bihari
BI	Bisiama
BR	Breton
BG	Bulgarian
MY	Burmese
BE	Byelorussian
KM	Cambodian
CA	Cataian
ZH	Chinese
CO	Corsican
HR	Croatian
CS	Czech
DA	Danish
NL	Dutch
EN	English
EO	Esperanto
ET	Estonian
FO	Faroese
FJ	Fiji
FF	Finnish
FR	French
FY	Frisian
GL	Galician
KA	Georgian
DE	German
EL	Greek
LD	Greenlandic
GN	Guarani
GU	Gujarati
HA	Hausa
IW	Hebrew
HI	Hindi
HU	Hungarian
IS	Icelandic
IN	Indonesian

Language Symbol	ENGLISH
IS	Icelandic
IN	Indonesian
IA	Interlingua
IE	Interlingue
IK	Inupiak
GA	Irish
IT	Italian
JA	Japanese
JV	Javanese
KN	Kannada
KS	Kashmiri
KK	Kazakh
RW	Kinyarwanda
KY	Kieghiz
RN	Kirundi
KO	Korean
KU	Kurdish
LO	Laothian
LA	Latin
LV	Laothian, Lettish
LN	Lingala
LT	Lithuanian
MK	Macedonian
MG	Malagasy
MS	Malay
ML	Malayalam
MT	Maltese
MI	Maori
MR	Marathi
MO	Moldavian
MN	Mongolian
NA	Nauru
NE	Nepali
NO	Norwegian
OC	Occitan
OR	Oriya
PS	Pashto Pushto
FA	Persian
PL	Polish
PT	Portuguese
PA	Punjabi
QU	Quechua
RM	Rhaeto-Romance
RO	Romanian
RU	Russian
SM	Samoan
SG	Sangho
SA	Sanskrit

Language Symbol	ENGLISH
ST	Sesotho
TN	Setswana
SN	Shona
SD	Sindhi
SA	Sanskrit
GD	Scots Gaelic
SR	Serbian
SH	Serbo-Croatian
ST	Sesotho
TN	Setswana
SN	Shona
SD	Sindhi
SI	Singhalese
SS	Siswati
SK	Slovak
SL	Slovenian
SO	Somali
ES	Spanish
SU	Sundanese
SW	Swahili
SV	Swedish
TL	Tagalog
TG	Tajik
TA	Tamil
TT	Tatar
TE	Telugu
TH	Thai
BO	Tibetan
TI	Tigrinya
TO	Tonga
TS	Tsonga
TR	Turkish
TK	Turkmen
TW	Twi
UK	Ukrainian
UR	Urdu
UZ	Uzbek
VI	Vietnamese
VO	Volapuk
CY	Welsh
WO	Wolof
XH	Xhosa
JI	Yiddish
YO	Yonruba
ZU	Zulu

ISO Language Codes

IA	Interlingua	GD	Scots Gaelic
IE	Interlingue	SR	Serbian
IK	Inupiak	SH	Serbo-Croatian

Simplified USAID CLASSIFICATION CODES
By Category

AA00 Agriculture and Food
AA20 Agricultural research
AA40 Agricultural policy
AC00 Agricultural education
AC10 Agricultural extension
AD00 Agricultural management
AD10 Agricultural cooperatives
AD40 Farming systems
AE00 Agricultural economics
AE20 Agricultural markets
AE40 Agribusiness
AE50 Agricultural finance
AE51 Agricultural credit
AF00 Crop production
AF20 Soil sciences
AF30 Plant breeding
AF40 Plant physiology
AH00 Crop protection
AH10 Crop pests
AH20 Crop diseases
AH30 Weeds
AJ00 Crops (General)
AL00 Animal husbandry
AM00 Aquaculture
AN00 Agricultural technology
AP00 Water resources
AP20 Irrigation
AP30 Environmental disasters
AP31 Drought
AQ00 Food processing
AS00 Food aid programs
AS20 Emergency food distribution
AS30 Food for Peace
AS40 Food supply

BA00 Communication (general)
BA40 Communications policy
BB00 Communication skills
BC00 Languages
BD00 Communication media
BH00 Information
BH30 Information management
BH60 Information centers
BH61 Libraries

CA00 Culture and society
CA30 Cultural development
CA40 Cultural policy
CA50 Cultural relations
CC00 Folk culture
CD00 Arts
CD20 Handicrafts
CD30 Music
CJ00 Religion

DA00 Economics (general)
DA20 Economic research
DA30 Economic development
DA40 Economic policy
DA50 Economic reform
DA60 Economic conditions
DB00 Economic assistance
DC00 Economic cooperation
DD00 Finance
DL00 Economic administration
DL21 Public sector
DL22 Private sector
DL23 Informal sector
DL30 Privatization
DL41 Monetary systems
DL50 Economic legislation
DM10 Economic models
DN00 Economic analysis
DP00 International trade
DR00 Markets
DR20 Prices
DT00 Business enterprises
DT60 Cooperatives

EA00 Education (general)
EA20 Educational research
EA40 Educational policy
EC00 Educational materials
ED10 Educational economics
EF20 Primary education
EF30 Secondary education
EF40 Higher education
EF50 Vocational training
EF60 Teacher education
EF80 Adult education
EF81 Literacy instruction
EF82 Participant training
EG00 Development education
EK00 Educational methods
EK20 Nonformal education
EL00 Educational facilities

FA00 Energy (general)
FA20 Energy research
FA30 Energy resource development
FA40 Energy policy
FB00 Energy resources
FC70 Electric power
FD00 Energy technology
FE00 Energy supply

JA00 Government and law (general)
JA30 Political development
JA31 Democracy
JA40 Political behavior
JA70 Government policy
JB00 Public administation
JB20 Public records
JB40 Elections
JC00 Government programs
JC20 Foreign assistance
JC25 Humanitarian assistance
JC28 Development administration
JD00 Laws and legislation
JF00 Security
JG00 International politics
JH00 War
JH30 Internal conflict

KA00 Health and Nutrition
KA20 Health research
KA40 Health policy
KA60 Health records
KA70 Health delivery
KA80 Medical equipment
KA90 Environmental health
KB00 Medical sciences
KC30 Health education
KD00 Health care
KD60 Primary health care
KD80 Community health care
KD90 Maternal child health care
KE00 Nutrition
KE70 Nutrition education
KE80 Malnutrition
KE90 Famine
KF00 Health facilities
KG00 Health personnel
KG40 Traditional health workers
KH00 Diseases
KJ00 Safety
KJ30 Disasters
KJ61 Emergency relief
KJ62 Disaster relief

LA05 Human settlements
LA50 Community development
LB40 Regional development
LB50 Urban development
LB60 Rural development
LC00 Housing
LC30 Housing administration
LC40 Housing policy
LC60 Housing economics
LC80 Housing conditions

MA00 Industry and technology (general)
MA40 Industrial policy
MA50 Industrial development
MB00 Materials
MC20 Industrial facilities
MC30 Industrial technology
MC40 Industrial management
MC50 Tourist industry
MD00 Technology
MD30 Appropriate technology
MD60 Technological development

NA00 Labor (general)
NA40 Labor policy
NA50 Labor economics
NA51 Labor market
NA52 Labor force
NA60 Labor supply
NA70 Labor relations
NA71 Labor unions
NA80 Employment
NB00 Occupations
NC00 Personnel management

PA00 Management (general)
PA30 Management education
PB00 Management operations
PB05 Management methods
PB100 Evaluation
PB120 Financial management
PB20 System design
PB30 Planning
PB40 Policy making
PB50 Coordinating
PB70 Supply management
PB80 Delivery systems
PB90 Implementation
PC00 Organizations
PC31 Private voluntary organizations

RA00 Natural resources and the environment (general)
RA20 Environmental research
RA40 Environmental policy
RB00 Natural resources (general)
RB10 Marine resources
RB30 Animal resources
RB40 Forest resources
RB50 Land resources
RB60 Plant resources
RC00 Ecology
RC30 Biological diversity
RD00 Environmental management
RD10 Natural resource management
RE00 Environmental protection
RE10 Natural resource conservation
RF00 Environmental degradation
RF10 Pollution
RF30 Natural resource depletion

SA00 Population and demography (general)
SA20 Family planning research
SA30 Family planning policy
SB00 Population characteristics
SC00 Population groups
SD00 Population surveys
SE00 Demography
SE20 Population growth
SE30 Fertility
SE40 Mortality
SE50 Migration
SF00 Vital statistics
SG40 Family planning services
SG41 Family planning education

TA00 Science
TA10 Research (general)
TA14 Research methodology
TA15 Data collection
TA16 Surveys
TA17 Data analysis
TA19 Research organizations
TB00 Statistics
TB30 Operations research
TC00 Earth sciences
TD00 Biology

UA00 Sociology (general)
UA20 Sociology research
UA30 Anthropology research
UA40 Socioeconomic development
UB10 Human rights
UC00 Quality of life
UD00 Social problems
UF00 Marriage and the family
UG00 Women in development
UH00 Social structure
UH05 Social change
UJ00 Psychology

WA00 Transportation (general)
WA40 Transportation policy
WB00 Land transportation
WB10 Road transportation
WC00 Water transportation
WF40 Transportation system design
WF50 Transportation system construction
WF60 Transportation system repair
WF61 Road maintenance
WF70 Transportation industry

Simplified USAID CLASSIFICATION CODES
By Subject

EF80 Adult education
AE40 Agribusiness
AD10 Agricultural cooperatives
AE51 Agricultural credit
AE00 Agricultural economics
AC00 Agricultural education
AC10 Agricultural extension
AE50 Agricultural finance
AD00 Agricultural management
AE20 Agricultural markets
AA40 Agricultural policy
AA20 Agricultural research
AN00 Agricultural technology
AA00 Agriculture and Food
AL00 Animal husbandry
RB30 Animal resources
UA30 Anthropology research
MD30 Appropriate technology
AM00 Aquaculture
CD00 Arts
RC30 Biological diversity
TD00 Biology
DT00 Business enterprises
BA00 Communication (general)
BD00 Communication media
BB00 Communication skills
BA40 Communications policy
LA50 Community development
KD80 Community health care
DT60 Cooperatives
PB50 Coordinating
AH20 Crop diseases
AH10 Crop pests
AF00 Crop production
AH00 Crop protection
AJ00 Crops (General)
CA30 Cultural development
CA40 Cultural policy
CA50 Cultural relations
CA00 Culture and society
TA17 Data analysis
TA15 Data collection
PB80 Delivery systems
JA31 Democracy
SE00 Demography
JC28 Development administration
EG00 Development education
KJ62 Disaster relief
KJ30 Disasters
KH00 Diseases
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TC00 Earth sciences
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KJ61 Emergency relief
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FA30 Energy resource development
FB00 Energy resources
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FD00 Energy technology
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MC20 Industrial facilities
MC40 Industrial management
MA40 Industrial policy
MC30 Industrial technology
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DL23 Informal sector
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NA71 Labor unions
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WB00 Land transportation
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JD00 Laws and legislation
BH61 Libraries
EF81 Literacy instruction
KE80 Malnutrition
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PA30 Management education
PB05 Management methods
PB00 Management operations
RB10 Marine resources
DR00 Markets
UF00 Marriage and the family
MB00 Materials
KD90 Maternal child health care
KA80 Medical equipment
KB00 Medical sciences
SE50 Migration
DL41 Monetary systems
SE40 Mortality
CD30 Music
RE10 Natural resource conservation
RF30 Natural resource depletion
RD10 Natural resource management
RB00 Natural resources (general)

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