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**REVIEW OF AID'S INSTITUTIONAL MEMORY**

Office of Information Resources  
Management (M/SER/IRM)  
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## INTRODUCTION

The Office of Information Resources Management (M/SER/IRM) has prepared a report that reviews the Agency for International Development's (AID) activities related to its institutional memory, and the Agency's utilization of memory resources in applying "lessons learned". The study upon which the report is based was undertaken to: (a) address and respond to several different mandates; (b) examine the findings of major studies over the past decade; and (c) evaluate the Agency's experience related to information management required to support AID's institutional memory.

The report is structured around a main body of analysis which supports several major findings and recommendations. In addition the report contains two appended working papers: (a) an analysis of major studies reviewed on the subject and abstracts of those studies, and (b) a paper on the lessons learned issues as they currently affect the Agency's program designers.

◦IRM Review Mandate - The review of the Agency's institutional memory was undertaken by IRM to satisfy several requirements. They are:

-- The Agency has a requirement under P.L. 96-511 (i.e., "The Paperwork Reduction Act of 1980") to conduct periodic reviews of its information activities vis-a-vis its collection, use, and dissemination. A scheduled review of the activity associated with AID's institutional memory was targeted for FY 1984 in agreement with the Office of Management and Budget (OMB).

-- In early 1983, the AID Administrator, in approving the reorganization of the unit responsible for the Development Information System (the principal automated component of the Agency's memory), recommended a follow-on evaluation by the M Bureau.

-- The study supports management's on-going efforts to revitalize AID's memory function and to facilitate the the application of "lessons learned" to the design of new projects.

-- Finally, IRM was asked to examine current contract proposals related to the operation of the agency's Document Information Handling Facility; a facility staffed by contract personnel to operate a mini-computer to support development information requirements for the LDCs and AID staff.

◦Previous Studies - During the past decade, AID memory activities have been reviewed and/or assessed in twelve major internal and external studies. In 1982, the GAO was especially critical of the Agency's inability to integrate the "lessons learned" into the design of new

projects. The other studies contain similar themes which are repeated in one form or another, specifically:

- Important documents are not included in the Development Information System (DIS);
- Potential users of the DIS are unaware of its existence;
- Project designers and managers are not using materials in the DIS;
- AID is not applying lessons learned from past experience.

A complete review of past studies and a comparative analysis is attached as Working Paper "A".

°Study Approach - The report is structured around an examination of the existing efforts of the Agency to support an institutional memory in the broadest context. It attempts to evaluate current efforts in this regard and offers findings and recommendations that are intended to enhance that objective. Unlike previous studies, which tend to equate AID's memory with the Development Information System (DIS), we have looked at all means of capturing the AID experience and making it available for the use of project designers and program managers. The findings and recommendations are based on the review and analysis of previous studies, an examination of Agency information systems (automated and non-automated), and a limited number of interviews in AID/W including some with AID staff who have had recent field experience.

## EXECUTIVE SUMMARY

This review of AID's Institutional Memory is the first in series of assessments to be made of the management of the Agency's information resources in accordance with the provisions of PL 96-511. In conducting this study, IRM has reviewed all of the Agency's major sources of information to determine (a) the extent to which they either do or could contribute to the generally accepted purposes of the memory function, and (b) the extent to which the Agency is utilizing its memory information to improve the design and implementation of its projects and programs.

In general, we have found that while the Agency has over the years exerted a considerable effort to capture and preserve its experience in assisting other nations to develop their economic and social potentials, the information characterized as memory is not being consistently fed into the program planning process.

We should hasten to point out that this judgement could be affected by major changes presently being made in (a) the administration of the Development Information System (the automated system devoted to the preservation of project experience), (b) the research and evaluation of certain aspects of the Agency's work, and (c) the procedures to be followed in reaching management decisions with respect to the on-going programs of the Agency. All of these changes are moving a direction that, if successfully carried out, would provide an opportunity to meet the oft-repeated Congressional mandate that the Agency learn how to learn from its mistakes. (See Authors Note at the end of this Summary.)

More specifically, we have found that despite many obstacles, not the least of which being the risky nature of the mission, AID and its predecessors have done a better than average job of preserving and evaluating their experience. The Agency's automated Development Information System (DIS) is unique among U.S. agencies and in the forefront of a concerted international effort to capture and evaluate development assistance efforts throughout the World. Nevertheless, the full utilization of this accumulated knowledge is adversely affected by several important factors including user attitudes, system content, applicability, accessibility, and relevance to AID's project designers and planners. The following paragraphs highlight several of the most important of these issues and summarize their impact on the effective use of the Agency's institutional memory.

The first and foremost issue or difficulty is that AID project officers and program managers are not sufficiently using the DIS and other available information resources in planning and implementing their operations. We do not, as others have done, attribute this situation primarily to failures on the part of the planners and implementers but rather view it as a problem associated with the management of the Agency's information resources particularly those related to the recording, evaluation, and accessibility of project experience.

In our view this problem, in large part, stems from a failure to recognize and take advantage of the wide range of information available for such purposes. We have found, for example, that most program managers rely heavily on personal contacts for their information on past experience. We have also found that through the years the Agency has developed a series of institutional contacts that are considered to be reliable sources of expertise on certain subjects. Together these less than formal sources of information form a powerful "conventional wisdom" which, though known and accepted throughout the Agency, does not receive as much managerial attention or appreciation as it should.

Similarly, we have found that the Agency is accumulating considerable amounts of useful information in a number of formal systems that are not ordinarily considered a part of its memory but which, if properly presented, could greatly enhance the Agency's knowledge and understanding of how to improve the design of its projects and programs. Here we have in mind especially those automated systems that are used primarily to formulate and present the Agency's budget but which if formatted differently could also better serve the program planning process. We also believe that information contained in the systems supporting other purposes such as research, contracting, personnel, and certain "stand-alone" programs like participant training could, if consolidated and made more accessible, improve the design of projects and the management of the Agency's country programs and project portfolios.

A second difficulty uncovered during the course of this investigation involved the type of information presented to program managers. The Agency's primary vehicle for transmitting information on past experience is the Development Information System. The principal products of the DIS are essentially bibliographic records of references to and abstracts of selected project documents and technical reports. Time after time in our interviews with first-line managers we found that when confronted with the DIS materials those being interviewed said they were of little or no value. Upon reflection we concluded that these responses were more a reaction to the nature of the materials included in the system than the mechanics of system. The problem as we see it is that first-line managers do not want access to original source material. Rather, they are looking for short credible digests of past experience on the various subjects they must deal with in preparing their program documents. The absence of this type of information is, in our opinion, a serious gap, and one that should be filled as expeditiously as possible.

An even more serious gap exists in the area of "doctrine" (which the team would describe as an orderly and comprehensive treatment of development assistance axioms or, if you will, "lessons learned"). While we certainly have not reviewed all of the literature in the field, we do

believe we have developed a fairly good grasp of the Agency's technical and research holdings. To us it is somewhat surprising to find that after some forty years of development assistance experience, most of it trial and error, the agencies responsible for the provision of foreign assistance have not come up with an overarching doctrine that both explains and guides their efforts. We have the feeling that most of the hard work -- the pick and shovel work if you will -- has been done and that the results of this hard work are on hand in the form of the combined information resources discussed in this report. What appears to be missing is the last ten percent, i.e. the pulling together of all of this information into a solid doctrinal base. One could speculate endlessly on the reasons why this has not happened, e.g. it's really the job of the academic community; we still don't know enough; we don't have the resources; Congress wouldn't approve, etc. We are obviously not in position to respond to these questions or even to suggest the proper approach. We can however reiterate that in reviewing the AID memory the absence of doctrine stands out as a glaring deficiency.

A third and totally different type of problem uncovered during the investigation pertains to mechanics. For a number of perfectly good reasons, the current design of the DIS called for the system to utilize a software program specifically designed to produce an internationally acceptable bibliography of development assistance materials. Again because of a number of good reasons, that system, which is called MINISIS, was designed by its developers to run on a Hewlett-Packard mini-computer, the HP 3000. Unfortunately, that machine has certain peculiarities that preclude the transfer of its programs to other brands of equipment which means that the DIS will not run on most of the Agency's standard automation equipment. This departure from Agency standards did not appear to pose any serious problems so long as the DIS was serving a more or less discrete clientele, e.g. the international research community. Now, however, with the emphasis shifting to using the system more as a management tool, issues have arisen which lead one to question the advisability of maintaining two separate and, to a large degree, incompatible systems within the Agency. Since many of these questions are of a highly technical nature, i.e. interchangeability of data, dedicated vs multi-purpose terminals, telecommunication linkages, and therefore somewhat beyond the scope of this paper, it is suggested that they be made the subject of a separate study.

The organizational focal point for memory functions within the Agency is the recently established Center for Development Information and Evaluations (PPC/CDIE). In addition to operating the Development Information System, the Center supervises the work of the Development Information Handling Facility (an Agency-owned computer installation at Bethesda, Md.), manages the Agency's evaluation system, and is responsible for carrying out a number of analytical and research activities connected with the interpretation and codification of the AID experience.

The costs of carrying out these activities have risen sharply following the submission of the 1982 GAO report which criticized the Agency for its failure to use past experience in the design of new projects. Program funds spent for the CDIE functions will approximate \$4.8 million in FY 1986, more than double the amount spent for these purposes in FY 1981. These costs reflect management decisions with respect to the value of these functions in improving the quality of the Agency's programs and as investments in preserving the organization's history so that others may benefit from its experience. It is not our responsibility to determine whether or not the levels established are appropriate for the purposes served. We do however, believe that the Agency is a full measure to the amounts it is spending on the DIS and its related functions.

The remainder of this Chapter summarizes the findings and recommendations discussed more fully in the main body of the report. Working papers analyzing previous studies and the application of lessons learned to the programming process are attached. Full copies of the previous studies are on file at the Development Information Center, Room 105, SA-18.

## MAJOR FINDINGS

This section extracts the more important conclusions reached during the course of the team's deliberations. They are presented here in summary form for convenience of the reader. The material and analysis which led to their formulation will be found throughout the report. It should be recognized that the subject under investigation does not readily lend itself to precise statistical or mathematical analysis and that therefore both the findings and the recommendations rely heavily on the collective judgements of the principal investigators and their advisors.

- On balance, AID has done a creditable job of capturing its experience and applying lessons of the past to the design and implementation of new projects and programs. Despite the criticisms contained in past reports, this team feels that AID has applied more resources to capturing and preserving its past experience and has given more attention to systematic attempts to feed that information back into its program planning process than do most other public agencies. Much of the previous criticism in our opinion results from (a) differences with regard to policy choices, (b) failure to recognize institutional constraints and (c) the fact that AID is still engaged in a high-risk enterprise which by its nature must be undertaken on a trail-and-error basis.
- While the DIS is an important source of documented information, it is a mistake to refer to it as "AID's Memory" for lessons learned purposes. The continued reference to the Development Information System, an automated index to, and collection of, selected project documents and technical reports, as "AID's Memory" is an over-statement that invites criticism. Other sources of information about the past exist and are used more frequently than the DIS collections in the program planning process. Furthermore, most respondents report that the original source material contained in the DIS has only limited value in the design of new projects.
- Institutionalized personnel contact is still the most important method of tapping past experience for project design purposes. Virtually all of those interviewed indicated that they considered personal contacts to be their most useful source of information concerning past experience. Among those listed as important were contacts with current and past employees, members of the academic community and past and present contractors and consultants.

- Other automated systems contain valuable data that should be regarded as a part of AID's institutional memory. The DIS project materials are basically textual and for the most part static in that they describe a project at the point at which its design is initially approved. Other AID systems, especially those concerned with the budget process, provide a more dynamic picture of projects as they move through the programming cycle and, since they use quantitative terms, offer a better basis for comparison which is essential to the "lessons learned" concept. Non-budgetary systems covering contracting, personnel, RIFAD and certain stand-alone programs like participant training offer the program manager additional insights into other facets of the Agency's experience.
- Current program planning strategies require a human intervention to ensure injection of lessons learned into the decision making process. Recent changes in the program planning process call for protracted high level deliberations on country strategies and reviews of implementing actions including current project portfolios. These meetings appear to provide an ideal opportunity to ensure high-level consideration of lessons learned and their application to final decisions with respect to the Agency's program. Given the nature of the meetings and the types of people involved, we believe this objective could best be met by some form of human intervention.

## RECOMMENDATIONS

As is the case with our findings, one can find suggestions for improving memory functions and related activities distributed throughout the body of the report and its supporting materials. The following paragraphs synthesize these suggestions into a series of concrete recommendations designed to (a) ensure consideration of past experiences in conjunction with major program decisions, (b) formalize attempts to capture and preserve the conventional wisdom, (c) facilitate the use of memory information throughout the planning process, and (d) focus attention on an increasingly serious technical problem.

Recommendation 1 - In order to ensure that past experience is given due consideration in major decisions affecting the Agency's programs, it is recommended that the Administrator establish a small staff of seasoned AID officers to act as his conduit for injecting lessons learned into the program decision-making process. Current program planning procedures call for periodic high-level reviews of country strategies and the programs and project portfolios needed to implement them. We believe that such meetings provide the ideal forum for applying lessons learned from past experience to the decisions affecting future operations. Given the projected attendance e.g., the Administrator, his top advisors, Regional Bureau AA's, and Mission Directors, we believe that these inputs can only be made by an individual with a place at the table whose sole responsibility is to search out relevant past experiences and bring them to the attention of the other members of the group. In order to accomplish this effectively the designated person would have to (a) be informed of the meeting, (b) be given an opportunity to review the documents to be discussed, and (c) have access to all relevant information sources within the Agency.

Recommendation 2 - In order to capture and preserve the conventional wisdom that now resides primarily within the minds of AID employees, it is recommended that CDIE in conjunction with other appropriate offices including M/PM and the S&T Bureau:

- Develop recommendations for a program of extended exit interviews and/or oral histories to capture and preserve the professional experiences of key AID employees.
- Develop and maintain a directory of former employees willing to provide free advice and consultation.
- Strengthen the role of sector councils by publishing and disseminating the names of standing members along with an annotated list of additional technical resources.

Together these suggestions reflect our conclusions with respect to the value of the human components of AID's institutional memory and our concern for capturing these resources before they disappear.

Recommendation 3 - In order to facilitate the use of recorded memory information throughout the planning process, the Center for Development Information and Evaluation should consider:

- Re-designing the principal print format of the DIS project display to present a standard set of categories with appropriate explanations for the absence of entries under each category.
- Expediting planned efforts to make the DIS more friendly to the general user by developing front-end menus and user prompts.
- The development and publication of an encyclopedia containing relatively short articles on the state-of-the-art on the subjects of general interest to AID planners.

The first two of these suggestions would make the DIS more useful to a wider audience. The third reflects our conclusion that even with these improvements, most line operators will not use original source material in their initial project formulations.

Recommendation 4 - In order to resolve an increasingly serious technical problem, it is recommended that IRM in collaboration with PPC/CDIE and M/SER/MO conduct a study of the issues involved in continuing to maintain the DIS and the index to micrographic files on a separately dedicated hardware/software configuration rather than integrating and supporting these functions on standardized Agency automation equipment.

Authors Note: A number of events have transpired since this study was conducted which while they do not change the general conclusions expressed herein do involve substantial changes that could greatly enhance the use of memory information and the applications of lessons learned to the planning process. Many of these changes result from the creation of the Center for Development Information and Evaluation and the support that organization has received from top management. Others stem from a continuing dialogue between members of the Center and staff of the Office of Information Resources. Three specifics bear mention here:

- Services provided by CDIE's Division of Information in response to requests from Agency managers for information needed in connection with planning of projects and programs has been substantially improved both in terms of the quality and time of response.

- CDIE has developed a prototype of a "Project Managers Guideline" that could well be the harbinger of the sort of "encyclopedic" documentation recommended in this report.
- CDIE has developed front-end menu for DIS terminal displays that could greatly simplify and enhance the end-use of that system.

## CHAPTER I

### AID'S INSTITUTIONAL MEMORY: ORIGINS AND PURPOSE

The notion of creating and maintaining an institutional memory, while not unique, is certainly not commonplace among Federal agencies. In AID's case, the impulse to create a memory derived from two factors: first, since foreign assistance was a new and, in many ways, an unprecedented enterprise, there was a felt need to learn from its own experience and second, there was a desire to share this experience with other donors and more importantly with the developing countries it was seeking to assist.

The AID effort can trace its roots to the so-called Ohley Task Force created during the last days of the International Cooperation Administration as a mechanism for capturing and preserving the experiences of technicians and experts returning from overseas assignments during the nineteen-fifties. Since that time the memory function has gone through three distinct phases:

- The creation of the Development Information Service (DIS) in 1975
- The establishment of the Development Information Handling Facility (DIHF) in 1981.
- The establishment of the Center for Development Information and Evaluation (PPC/CDIE) in the Spring of 1984.

It is important to note that the emphasis placed on the two purposes alluded to above, namely (a) support of the Agency's program activities and (b) transfer of the AID experience and technical knowledge to other donors and LDC institutions, has varied from phase to phase and, to a lesser extent, within each of the phases. For example, the report leading to the creation of the Development Information Service proposed that the DIS be established first to "provide the information needed by Project Designers" and only after fulfilling that need to serve non-AID users. In contrast, the stated objective of the contract signed by the Agency for the design and establishment of the Development Information Handling Facility was to ". . . strengthen AID's program for transferring technological information from industrial nations to developing countries . . ." And finally, the objectives formulated during the organization of the Center for Development Information and Evaluation states that its principal purpose is to "strengthen AID's application of development experience and information resources". It is interesting to note that these changes in emphasis coincided with organizational actions that transferred the function from PPC to S&T and then back to its current location in PPC, and that the shifts toward a greater use of the "memory"

for internal purposes were at the behest of outside forces, in one case the Congress and in the other the General Accounting Office.

As will be seen later, these shifts in purpose influenced not only the priorities established with respect to services provided but also the design of the system and the choices of equipment and the software used to store and retrieve the data.

In keeping with the approach adopted for this review, the study team examined all potential uses of the Agency's memory resources including, but not confined to, those directly associated with the CDIE activities. Based upon that examination, the team concludes that the AID memory serves three main purposes. They are:

- The satisfaction of the Agency's legal and ethical archival responsibilities.
- The fulfillment of its mission to advance our knowledge of the development process and transfer that knowledge to the developing world.
- The improvement of its own programs through the application of lessons learned from current and past experiences.

The team has also concluded that of the three, management's most pressing concern at the moment is with the third and that it should therefore devote most of its energies and attention to an examination and evaluation of the means for achieving that purpose. Accordingly, the emphasis of the team's report is to explore the requirements and problems associated with the accomplishment of that objective.

## CHAPTER II

### THE 1982 GAO REPORT

The current emphasis on the "lessons learned" aspects of the AID memory stems from a report on this subject submitted to the Administrator in June of 1982 by the General Accounting Office (see abstract in Working Paper A). In that report, the GAO contended that the Agency was not making adequate use of the lessons of the past in the design of new projects. It based this contention on some 120 interviews with AID project officers in Washington and four USAID's and a detailed review of the documents involved in the design and approval of five recently completed agricultural projects.

According to the GAO report, these investigations revealed that most project officers did not know of the existence of the automated DIS records which in its view represented the principal legitimate repository of information with respect to the Agency's project and project related experience. In addition, GAO reported that the DIS did not cover all of AID's projects (it estimated the coverage at 60% of current or recently completed projects); that important documents were missing from existing project records, and that many of the documents included were of a historical nature and not directed toward the lessons learning process. Finally, GAO reported that capabilities for assisting project designers in finding and analyzing relevant recorded experiences had been seriously eroded, thereby leaving those involved in the project development process to rely heavily on informal word-of-mouth contacts for information on lessons learned.

The report goes on to recommend that the Administrator require that the AID staff identify, record, use, and forward to DIU (the office then responsible for maintaining the DIS and providing related reference services) the lessons learned from past project designs and their implementation. In addition, the report recommended that the Agency establish an analytical capability to assist project designers in identifying and applying the lessons to the design and implementation of new projects.

The receipt of the GAO report touched off a series of events that culminated in the Spring of 1984 with the creation of the Center for Development Information and Evaluation (PPC/CDIE) and the assignment of a seasoned senior AID official, Mr. Haven North, as its Director.

The key points in this sequence were:

- °The Agency's official response
- °The establishment of the Kammerer Work Group

- The submission of the Work Group's Report and Recommendations
- The reorganization resulting in the establishment of CDIE and the appointment of Haven North

In retrospect, it appears to the current study team that the GAO report and, to a lesser extent, the Agency's response were remiss in several important respects. First, neither gives enough credit to the value of the word-of-mouth transmission of AID's experience and the importance it plays in the program planning process. Our study shows that personal contact is usually the first, and in the opinion of most of the project designers interviewed, the most reliable source of information available with respect to AID's experience.

Second, neither the GAO report nor the Agency's response gives adequate attention to the vast body of information concerning various facets of AID's experience that is collected in systems other than the DIS. Like other studies before it, the GAO report equates AID's "memory" with the DIS. Our examination shows that automated systems other than the DIS contain a great deal of retrievable project information that can contribute to an understanding of how best to carry on the Agency's work.

Third, the GAO report and the Agency's response are somewhat confusing in their treatment of the analytical aspects of the lessons learned process. Our investigations have shown that the different forms of information concerning AID's experience have different degrees of relevance to the formulation of lessons learned and to their application to the planning process. We have found that while some officers involved in the planning process are willing and, in some cases, even prefer to handle original source material, most find such material confusing and/or meaningless for their purposes. A strong case can therefore be made of the need for some form of interpretation of available information and the tailoring of that information to suit the operational needs of planners and decision-makers. To the extent that the GAO emphasis on the need for analytical activity addresses this point, it makes a useful observation. The problem is that neither the GAO report nor the Agency response (which tends to agree with the GAO conclusions) goes far enough in describing the type of analysis needed. It is clear from reading the GAO report that the investigators believed that, as a minimum, the Agency should make more staff available to assist users in searching for, and to some extent, consolidating relevant project data contained in the DIS archives. It is not so clear as to what the investigators had in mind insofar as any further research efforts are concerned nor is it clear how they foresaw the fruits of this labor being injected into the planning process.

Our own investigations lead us to conclude that analytical needs vary with (a) the type of user and (b) the point in the planning process at which the information is being used. Generally speaking the higher we

went in the management hierarchy, the greater the desire for analysis or some other form of interpretation. We found a similar pattern with respect to the planning process, e.g. the closer one got to the final decisions, the greater the need for pin-pointing lessons from the past. As we shall see later, these two observations have convinced us that some additional form of human intervention is required if management really wishes to apply the lessons learned to major decisions affecting the Agency's operations.

## CHAPTER III

### THE CENTER FOR DEVELOPMENT INFORMATION AND EVALUATION

The Center for Development Information and Evaluation (CDIE) was established early in FY 1984 as an instrument for improving the quality of AID and LDC development programs by:

- °Acquiring, assimilating and transforming information on development experience into meaningful program planning guidance.
- °Promoting the application of lessons learned in program planning and management and in policy formulation.
- °Increasing A.I.D. staff awareness and use of development information resources.
- °Extending development information and evaluation experience and methods to the LDCs and other AID donors."

The Center operates through three divisions: the Development Information Division, the Evaluation Applications and Statistical Analysis Division, and the Program and Policy Evaluation Division. The functions of each of these divisions is described below.

°Development Information Division (DI). The responsibilities of this Division are clustered into three service areas: the management of the AID Development Information Center (DIC); the management and maintenance of two large automated information systems (the Development Information System and the Economic and Social Data Bank), and the provision of reference services involving the use of CDIE collections. The division is also responsible for supervising the Development Information Handling Facility and for the design and modification of the automated systems used by the Center.

°Evaluation Applications and Statistical Analysis Division (EASA). This division administers a program of analytical studies of quantitative and non-quantitative development information by summarizing, synthesizing, and condensing AID's program experience with information on social, economic and demographic trends in the developing countries. The work of this division differs from the work of the Program and Policy Evaluation Division in that EASA is concerned with the issues that either transcend the limits of individual projects or programs, or that require tailored analytical responses.

°Program and Policy Evaluation Division (PPE). This division administers AID's formal system of project and program evaluations and is responsible for the integration of evaluation findings and lessons into the Agency's policies, programming, and procedures.

In addition to these three operating divisions, the Center employs a number of coordinators in the office of the Director to assist in the management of certain cross-cutting activities including the Center's input to Agency-wide reviews of Country Development Strategy Statements, PID's and PPs. The coordinators are also called upon to organize and direct studies and reviews dealing with broad subjects that do not fit neatly into other functional categories and/or which are of particular concern to the Director.

The above three divisions within CDIE were created as a result of the re-organization recommended by the Kammerer Work Group, and approved by the Administrator in the wake of the 1982 report by the General Accounting Office. That re-organization transferred the Development Information and Utilization Service and the Office of Economic and Social Data from the Bureau for Science and Technology (S&T) to the Bureau for Program and Policy Coordination (PPC) where it was merged with the Office of Evaluation. The principal internal structural changes that have taken place since these transfers are (a) the consolidation of automated data operations under the Development Information Division, and (b) an expansion of the Center's analytical capabilities through the re-direction of resources within the EASA Division and the addition of the information applications coordinators in the Office of the Associate Assistant Administrator. The Center has also strengthened its reference services by entering into a RSSA with the USDA Graduate School for the services of eight additional reference specialists. These structural changes plus the assignment of Haven North, a seasoned and highly respected AID officer, to direct the Center's activities should go a long way toward correcting the deficiencies noted in the GAO Report.

The chart on Page 20 arrays the total dollars required to support CDIE's responsibilities from FY 1980 to FY 1986. This information was derived from data provided by CDIE staff. The data reveals that the costs of supporting this activity over the six-year period will have doubled. These changes do not reflect increased operational unit costs but rather estimates of additional resources required to support a growing workload in such areas as microfiling and evaluations. The cost of the overall contract with CDSI, CDIE's prime contractor, for operating the DIHF and the DIS was reviewed in detail during the period prior to the renewal of the contract. The team believes the costs indicated above are justified and represent the fair cost to the Agency to maintain and support this responsibility. The extent to which CDIE functions meet the differing needs and informational agendas of both internal and external users effectively is the subject of much of the ensuing analysis by the team.

As we have already noted, the team is aware that CDIE is undertaking many of the specific recommendations of the GAO's 1982 report, particularly in such areas of user awareness by publicizing its resources

in such media as the Front Lines. More will be mentioned in this report regarding improvement initiatives that CDIE has undertaken or intends to undertake.

**PPC/CDIE RESOURCES**

	FY 80	FY 81	FY 82	FY 83	FY 84	FY 85	FY 86
<b>I. STAFF RESOURCES</b>							
A. Direct-Hire							
1. CDIE/ADM	—	—	—	8/0	8/0		
2. CDIE/DI (DIU)	31	31	15	5/5	5/5		
3. CDIE/PPE (PPC/E/PES)	7	5	7	8/4	6/4		
4. CDIE/EASA (ESDS)	7	2	6	5/2	5/2		
TOTAL	45*	38*	28*	26/11**	24/11**	?	?
B. RSSA (CDIE/DI)	—	—	—	6	10	****	****
RESEARCH STAFF***							
<b>II. PROGRAM FUNDS</b>							
<b>(\$000's)</b>							
INFO AS A TOOL IN DEV'L	1,333	988	1,366	1,875	2,000	2,285	2,482
INTEGRATED STUDIES & SYS	587	692	914	735	850	1,090	1,073
BUCEN SURVEYS & EVAL SUP	—	580	529	449	500	500	585
AGRICULTURAL INFORMATION	482	20	260	255	650	525	739
TOTAL	2,402	2,280	2,769	3,314	4,000	4,400	4,879
PER CENT CHANGE		(- 5%)	(+ 21%)	(+ 19%)	(+ 20%)	(+ 10%)	(+ 11%)

\*Based on end of FY on-board strength provided by M/PM DATA.

\*\*On board count for continuing permanent full time/part time direct-hire staff.

\*\*\*RSSA under contract with USDA Graduate School; funding provided from program funds listed in item II of this table.

\*\*\*\* In FY 85, RSSA changes to AID contract.

## CHAPTER IV

### THE AID DOCUMENT AND INFORMATION HANDLING FACILITY

The AID Document and Information Handling Facility (DIHF) is a multi-purpose information facility managed by the Center for Development Information and Evaluation. Originally created to design and operate the Development Information System as part of a growing network of international development information centers, the DIHF has over the three years of its existence evolved into a major Agency-wide information resource. Under the newly awarded contract governing its operations, the DIHF will also provide services to all four Regional Bureaus, the Office of Contract Management, the Bureau for Science and Technology, the Offices of Food for Peace and Housing, as well as the Center for Development Information and Evaluation. Its services fall into three broad categories:

- The design and maintenance of databases and computerized indexes.
- The processing and maintenance of micrographic files and records.
- The storage, publication, and dissemination of AID technical reports.

Each is discussed in the following paragraphs.

◦Design and Maintenance of Data Bases and Computerized Indexes. The DIHF is responsible for the continual design and maintenance of the DIS databases. In accordance with the most recent shift in emphasis in the use of the system, the central focus of design efforts will be directed toward (a) expanding the scope of the project data base primarily by including references to contracts and other implementing documents, and (b) making the system more friendly to the general user. At the present time, there are an estimated 42,000 documents and 4,400 projects' documentation referenced, identified, and abstracted in the DIS databases. An additional 20,500 documents are awaiting processing in the Facility's warehouse. It is estimated that 2,500 technical reports and 2,500 project documents will be added to the database in each of the five years covered by the new contract. Of these, approximately 1,500 will be abstracted directly by DIHF staff and an additional 300 author-prepared abstracts edited and entered into the database files.

◦Micrographic Records Program. In addition to maintaining the DIS databases, the DIHF assists AID bureaus and offices in maintaining their current operating files under the micrographic records program. Working in conjunction with the M/SER/MO's Communications and Records Management Division, DIHF staff have indexed and microfilmed current operating files in two regional bureaus, Africa and Asia, and the central contract office. Microfiche headings denoting project and contract numbers and titles are entered and maintained in a computer index utilizing the same technology used to produce and maintain the DIS. Current plans call for

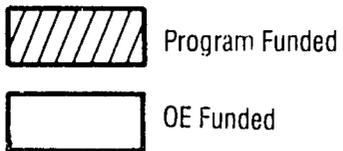
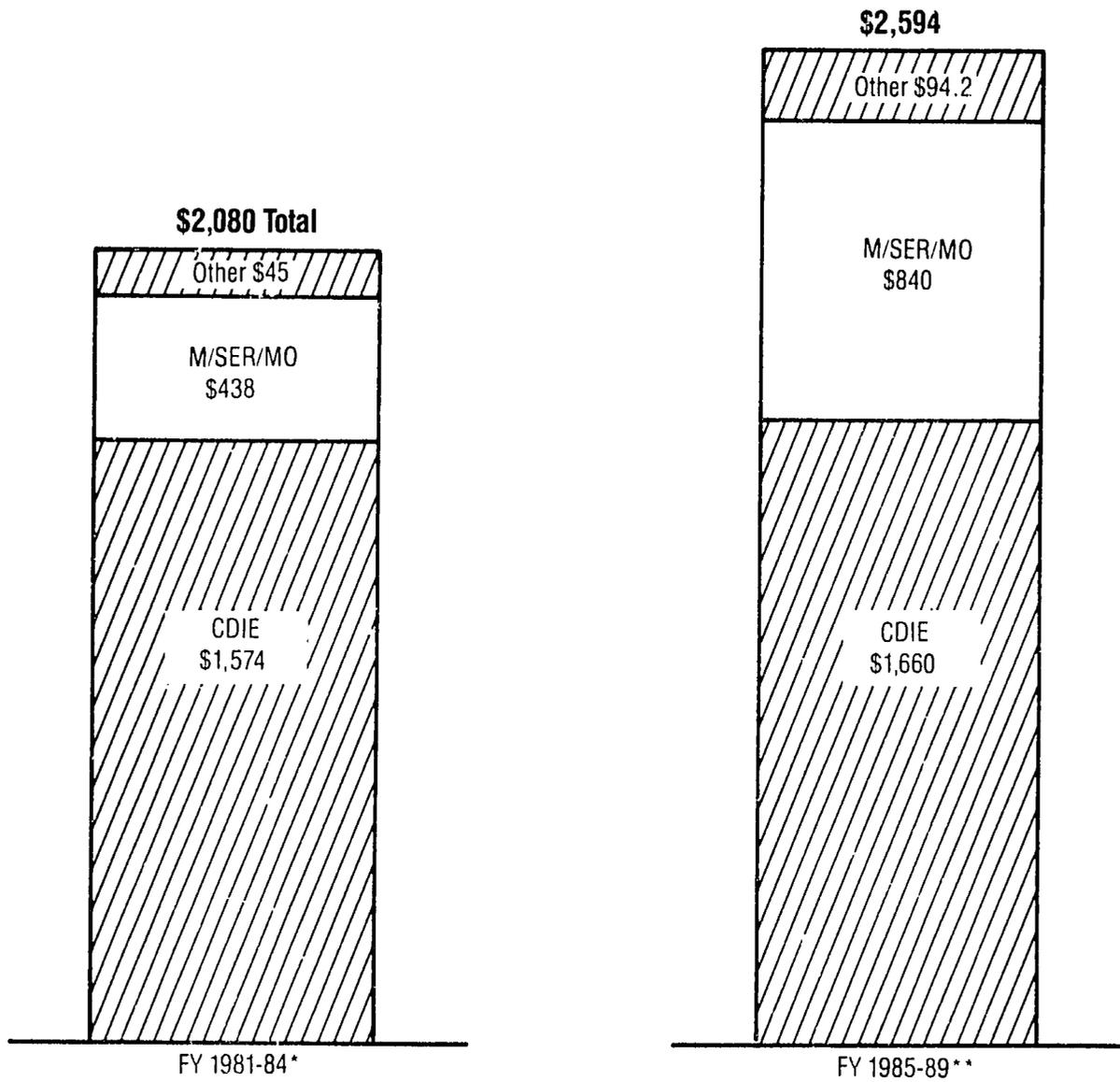
extending this system to the two remaining regional bureaus, the Bureau of Science and Technology, and the Offices of Food for Peace and Housing within the next two fiscal years. When the program is completed, the Agency will have at its disposal a relatively complete list of all recognized projects undertaken since 1974. As indicated in the preceding chapter, each of these entries will include along with project identification information, references to and/or abstracts of key documents. In the case of projects covered by the micrographic record system, these references will cover all documents that have been produced as a part of both project planning and implementation processes as well as all correspondence relating directly to the project. In the case of projects completed prior to the installation of the micrographic system, the DIS will contain references to and/or abstracts of planning, evaluation, and audit documents only.

Dissemination and Publication of Technical Information The DIHF is the primary repository for published technical information produced by AID and/or its contractors. In addition to the materials described above that are maintained in electronic or microfiche form, the Facility has over 140,000 hard copies of archival and other bulk quantity documents. Under its contract, the DIHF operator is responsible for fulfilling requests for these materials from LDC Institutions, Members of Congress, other U.S. Government Agencies, AID Contractors, the public at large, AID/W Bureaus, and the USAIDs. As a general rule, requests from public agencies are filled free of charge while private requestors are required to pay fees to cover the costs of printing and postage. The DIHF also acts as a distribution point for the dissemination of AID generated technical reports that are sent on regular basis to some 7,500 addressees contained in a computerized mailing list (ADDS). The addressees are for the most part other development assistance institutions (such as those in the LDCs) and individuals outside the Agency.

In addition to its fulfillment activities, DIHF publishes a quarterly digest, the AID Research and Development Abstracts (ARDA), which goes to the 7,500 regular ADDS recipients, as well as a number of special bibliographies on topics of current interest in the foreign assistance community. All in all, DIHF expects to handle some 24,000 requests for information and documents next year and to distribute well over one million pages of materials during the same period.

The DIHF operates in Government leased space in Bethesda, Md. utilizing government owned equipment. The current contract (OTR-0000-C-00-4446-00) which was executed in September 1984, covers operations for the next five years for total of \$12,971,000. The Agency-owned equipment (including a Hewlett-Packard 3000 minicomputer, related peripherals, terminals and printers, several IBM PC/XT and WANG PC micro computers, and an OP-2124 diazo microfiche duplicator) was procured under a previous contract, (DAN-0232-C-00-1088-00). The following table shows the estimated annual fiscal costs of operating the Development Information Handling Facility by funding source.

### AVERAGE ANNUAL DIHF COSTS (\$000s)



\*Total of \$6.2 Million averaged over three years  
\*\*Total of \$12.9 Million averaged over five years

## CHAPTER V

### THE DEVELOPMENT INFORMATION SYSTEM

The Development Information System is an outgrowth of a movement started in the early 1970's to organize the Agency's collection of project documents and technical reports and make them available to AID officers and other members of the international development assistance community. The design of the system has gone through several incarnations the latest of which emerged from a contract with Computer Data Services, Inc. signed by the Agency in November 1981.

The system has always served two masters: AID's internal bureaucracy and the larger foreign assistance community consisting of donors and the countries being helped.

A conscious decision was made in connection with the 1981 contract to design the system to support the second of these categories. The AID managers, at that time the Development Information and Utilization Service, and the contractors discovered that the International Development Research Center (a public corporation established by the Canadian Government to support and conduct research on problems of the developing regions of the world and the means of applying scientific and technical knowledge to their solution) was engaged in the development of an automated bibliographic system for its own purposes. Its efforts in that regard culminated in the creation of a simplified version of an IBM supported data management system called ISIS. The new system has become known as mini-ISIS or MINISIS for short. As part of its design work, IDRC tested the then available mini-computers and decided that the Hewlett-Packard 3000 was at that time the best choice for institutions in the developing world. MINISIS therefore was designed to run on the HP3000 and because the peculiarities of that machine's operating system will not run on any other type of equipment. After reviewing a number of options, CDSI decided that the MINISIS/HP3000 configuration would also best fit AID's requirements and re-designed the DIS accordingly.

To carry out these decisions, the Agency acquired an HP3000 which was installed at the facility (DIHF) maintained by the contractor in Bethesda, Md. and transferred the existing DIS files from its mainframe IBM to the newly acquired Hewlett-Packard equipment. Since the principal user, the DIU, and its parent bureau, S&T, were primarily concerned with the dissemination of scientific and technical information, this series of decisions did not create a great deal of concern elsewhere in the Agency. The renewed interest in the DIS as an internal management tool following release of the GAO Report in 1982 caused some to begin to wonder about the wisdom of supporting a major automated system that utilized a software/hardware configuration not compatible with other forms of automation in use in the Agency. This issue became even more

serious when, for all the right reasons, the Agency decided to use the DIHF equipment to automate indexes of current project documents as a part of a program to microfilm regional bureau files. With the recent decision to extend that program to cover all current contract documents and with pressures to extend the program to other offices and bureaus, the Agency now faces a serious dilemma, i.e. should it continue to support what is rapidly becoming a major management information system with a software/hardware combination designed to provide bibliographical support for a body of research materials? If not, what are the alternatives? The final answers to these questions go considerably beyond the scope of this review and will depend, in part, on actions taken with respect to other suggestions and recommendations made in this report. For present purposes it is sufficient to note that the condition exists and that it warrants further attention sometime in the near future.

In essence, the Development Information System consists of: (a) an automated index to several types of AID documents, (b) on-line abstracts of some of these documents, and (c) microfiche copies of all or mostly all of the documents indexed. Generally speaking, the documents contained in the system date from 1974 though, if one includes the AID library materials waiting to be indexed, the materials go back much further, some even dating back to the days of the Marshall Plan. The inclusion of designated materials, once considered a serious problem, has improved considerably in recent years and because of the now automatic inclusion of references to regional project files should not be an issue in the future.

Acquisition standards now in effect call for the electronic indexing and abstracting of three types of project documents:

- °A project design document, i.e. approved project paper
- °An evaluation, either mid-term or end of project
- °An audit if the project has been completed

The GAO report estimated that in 1980 the system contained some or all of these types of documents for approximately 60% of the projects undertaken by AID since 1974. That figure has now risen to something approaching 90%. We consider this to be a more than adequate sample for all conceivable forms of research including the application of past experiences to the project design process, and therefore do not view the matter of the DIS's coverage as a major issue.

The acquisition policy with respect to technical materials, other than those produced as part of the project approval and evaluation processes, is to include all technical papers and reports produced either by AID personnel or by contracts with outside sources. AID's regulations place the burden for submitting copies of materials produced outside the Agency on the contractor. With respect to materials produced by AID personnel, the regulations require the author to submit copies of his

work to CDIE for inclusion in the DIS collection. In practice, the most dependable source of new material is an agreement with the Agency's printing office (M/SER/MO/PM) to supply copies of all required material to the CDIE.

DIS materials can be retrieved under any one of three general formats:

- °Documents by number, title, author, subject
- °Projects by number, country, type
- °Contents of current project and contract files by region, or in the case of contracts, by contract number.

The MINISIS data management system provides extremely powerful query and search capabilities in all three formats. In addition to the usual searches through the use of descriptor fields, the system permits iterative sets of Boolean searches as well as relatively fast key word-in-context searches utilizing a substantial number of inverted file structures. The latter function has been recently upgraded by the creation of a 5,000 word thesaurus tailored to AID documents that is scheduled to become an integral part of the computer program early in FY 1985.

Currently these formats cover some 42,000 document titles, 4500 projects, indexes of active project files in the Asia and Africa Bureaus, and indexes to all active contract files.

Users can query the DIS system in three ways:

- °By submitting a written or telephonic request to CDIE's Development Information System.
- °By submitting a request directly to the DIHF.
- °By utilizing on-line equipment to conduct their own searches.

In all three cases, the operator begins the query by selecting one of the three formats noted above. If it is the project format (the one most frequently used to identify analogs for project design purposes), the operator may request a listing of all projects by a given field of activity. Let's say that the field is "higher education." The operator can then request a match of all "higher-education" projects within a particular region or with some other descriptor recognized by the system. Once the list of projects has been identified, the operator can browse through a number of print formats ranging from basic identification material ( e.g. project number, country, title, date of approval, estimated LOP and LOP cost), to a full display of abstracts of project design documents and references to evaluations, audits, and related technical reports. If desired, abstracts of these latter documents, where available, may be retrieved by shifting into the document file format. All of the material described above can be visually reviewed on the terminal screen and/or reproduced as computer printouts. Full copies of referenced documents can be obtained in either microfiche or print copy within days upon request to CDIE or the DIHF.

The table on the next page shows the number of requests for searches received by CDIE during FY 1984 broken down by requestor served.

	CDLE	AID	AID	USDA	TOTAL	DOCUMENTS REQUESTED	
	DI	LIBRARY	DIHF	TIS	REQUESTS	ILL	AID
USAIDs	887	57	357	718	2019		22030
AID/W Offices	1695	1802*	883	273	4653	2560	10563
AID Contractors & PVOs	513	----	120	68	701		1337
LDC	309	----	539	18	866		13717
- Host Governments							
- Institutions							
- Individuals							
U.S. Government	235	----	33	0	268		692
Development Orgns.	299	----	98	0	397		7150
- National							
- International							
U.S. Public	1316	1359	963	25	3663		5627**
- Commercial Firms							
- Universities							
- Libraries							
- Research Insts.							
- Individuals							
<b>TOTAL</b>	<b>5254</b>	<b>3218</b>	<b>2993</b>	<b>1102</b>	<b>12567</b>	<b>2560</b>	<b>61116</b>

\* Includes AID Contractor, PVO, U.S. Government, LDC and Development Organization Requests

\*\* Prepaid U.S. Public Requests for AID Documents and Reports

CDLE/DI: Requests for analytical and research services concerning AID's development experience.

AID LIBRARY: Walk-in and telephone requests.

AID DIHF: Requests for specific AID documents and reports received by the AID Document and Information Handling Facility.

USDA TIS: Requests for technical information from Agriculture Development Officers, Project Officers, Researchers and Technicians received by the USDA RSSA.

ILL: Inter-Library Loan requests for specific monographs, documents and journal articles for use by AID staff.

AID: Number of copies of AID documents and reports including Project Papers, Evaluations, Technical Reports, and A.I.D. Research and Development Abstract (ARDA) reports.

Over the years, the DIS has been the subject of a number of studies that while not always critical of the DIS tend to conclude that the system is not being adequately used to support management processes associated with program planning and project design. The reasons given are usually couched in statements such as:

"Most project designers do not know of the system's existence or if they have heard of it do not know how to access it."

"Many important documents are missing because they are not made available for entry into the system in accordance with established procedures."

"Queries usually result in too little or too much material or materials furnished is not relevant for the purposes for which it is requested."

"The mechanics of the system are cumbersome and difficult to use."

It should be noted that most of this criticism stems from a presumption that the DIS is the sole expression of AID's "memory" and, as such, is a critical tool in the development of AID programs and the design of AID projects. We do not share this view. While we recognize the DIS as the only Agency-wide system solely devoted to recording and preserving AID's experience and technical knowledge, we do not believe it is the only or even the most important source of information on past performance within the Agency. We are, therefore, inclined to take a less stringent view of the system and its alleged shortcomings than do prior study teams.

As previously mentioned, we do not, for example, view the problem of missing documents quite as seriously as they do. The DIS is, in effect, a reference library and not an official inventory of the Agency projects. The criteria that should apply with respect to coverage is whether or not its collections are sufficiently complete to reasonably meet the needs of its users. We believe that the current records, which contain most of the "must" documents for over 90% of AID projects undertaken since 1974, represents a more than adequate sample for any or all research purposes. In making this statement, we recognize that the unexplained absence of one known piece of information in a data bank tends to discredit the total collection. In the case of the DIS, steps could be taken to mitigate against this type of reaction by including a few explanatory entries in the visual and printed displays of DIS project records.

The situation with respect to the inclusion of technical reports is not so clear cut. Existing regulations require AID contractors to submit all final technical and other major deliverable reports to the DIHF for processing and inclusion into the DIS. CDIE representatives estimate that

the DIHF is receiving about 75% of contractor produced documents under these requirements. Technical reports produced by AID employees or by contractors utilizing Agency facilities presents no problem since the Agency's Publication Division (M/SER/MO) routinely supplies copies of all materials it publishes to the DIHF. Given the general perspective of this review, we do not view the current state of affairs with a great deal of alarm. While it is reasonable to expect the Agency to maintain a relatively complete inventory of technical materials produced with the taxpayers' money, we are not sure all of the documents covered by the handbook requirements are of sufficient importance to warrant their inclusion in the DIS. We also expect that a number of incentives, not the least of which being an author's ego, mean that most of the really important information is finding its way to the DIS sooner or later. In short, we do not feel that the inclusion of technical reports represents a serious issue and that if there is a problem in this area it may be one of finding ways to exclude extraneous material that is cluttering up the data bank.

The second major criticism of the DIS, namely that the system is cumbersome and difficult to use and that queries often result in too little or too much material, has more substance and deserves additional attention. Searches for selected entries on the system are conducted by matching pre-determined class references in an iterative sequence transaction. If the number of entries in each class and/or the number of classes that must be matched to find a particular subject are relatively large, this process can appear cumbersome to the uninitiated who has been conditioned by his or her favorite TV ad and to expect the computer to give a precise answer to the command "Tell Me All You Know About Rice Production in Lower Tanzania." The same end-user may be equally dismayed to find that the response to a more general query like "Give Me Everything You Have On Rice Production In Temperate Climates" produces many more references than he or she cares to examine. CDIE is attempting to minimize these problems by (a) educating recipients to tailor their requests as much as possible, and (b) maintain a body of experienced reference librarians to do the actual searching.

These measures are generally viewed within the Agency as improvements. There are, however, an increasing number of AID project officers and program planners demanding a more iterative approach allowing the end-user to actual conduct of his or her own searches and make the final decisions about the form in which they wish to receive the output. To support this movement, CDIE has recently initiated a series of training sessions for those interested in learning how to access the DIS collections. IRM believes that the move toward end-user computing is in keeping with the times and should be promoted by Agency managers. In the case of the DIS, however, we think that these efforts should be preceded by the development of glossaries and computer driven menus that would make the system more friendly and easier to use.

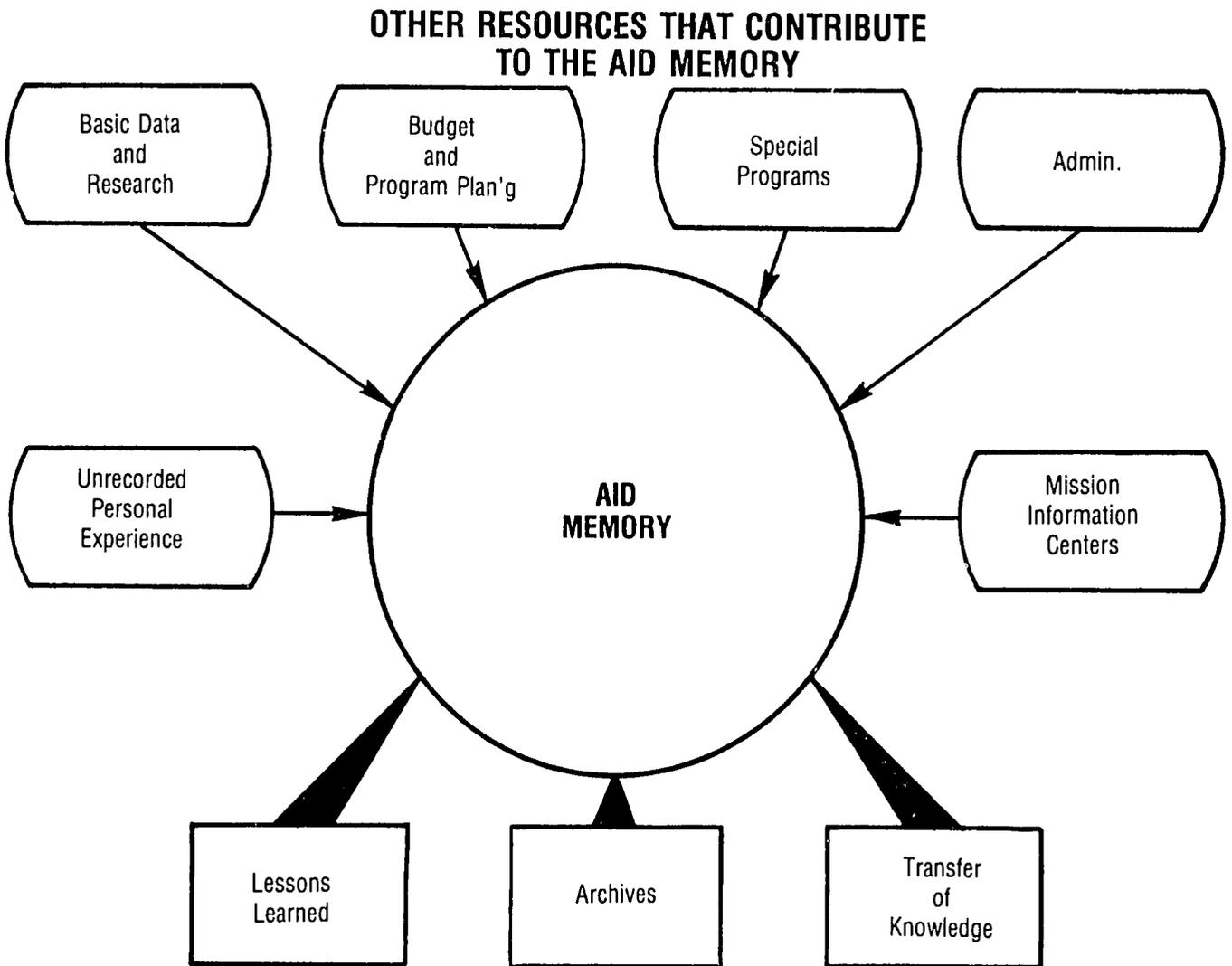
The third most frequently voiced criticism of the DIS concerns the value of its contents as a basis for the design of new projects and programs. This issue has several facets. One has to do with the intrinsic quality of

the DIS materials. Another has to do with the suitability of those materials for the various purposes served by the system. A third has to do with the mechanics of the program planning process itself, particularly the degree to which it permits or rewards the search for lessons learned. Each of these aspects is discussed at some length in other sections of this report. For current purposes we would point out that much of the criticism of the system, in this and other areas, derives from an assessment of its usefulness for a purpose other than the one for which it has been designed, and that to date there has been little or no study given to an assessment of the value of the system to its (up until now) primary audience, i.e. the international development assistance community. With respect to criticisms having to do with the contextual quality of the documents contained in the system we should also point out that all of these materials have been approved and/or deemed acceptable for some purpose prior to their entry into the system.

CHAPTER VI

OTHER RESOURCES THAT CONTRIBUTE TO THE AID MEMORY

At the outset of this report, we stated our intention to review memory functions within the context of all of the Agency's information resources. The topology we used for these purposes and the functions we see being served by the memory are depicted in the following chart.



Several explanatory notes are in order.

First, it will be noticed that we included in the list of resources an item entitled "unrecorded personal experience". Our interest in this item was originally aroused during our examination of the previous studies that have been made of the AID memory and certain related activities. In reading these reports we were struck by the fact that in virtually every case the investigators found word-of-mouth, personal contact to be the most frequently used method of passing on experiential data as a part of the project design and approval process. We were also struck by the persistence with which these investigators denigrated this form of knowledge transfer even though it appeared to be a commonly accepted and long-standing practice within the Agency. We therefore decided to give this aspect of the Agency's culture a more formal status by including it as one of the Agency's ranking information resources. Our evaluation of the role this resource plays in the planning process will be discussed later.

Second, each of the three uses identified at the bottom of the chart (i.e., Lessons learned, archives, transfer of knowledge) could easily warrant a separate review and analysis. Because of the most recent expressions of management concern, the team decided to concentrate its efforts on the first of the three, namely the application of lessons learned to the program planning process. This decision should not detract from the importance of efforts being taken in pursuit of Agency objectives in the other two areas. In the archival area, for example, the Agency is engaged in a major effort undertaken in conjunction with the National Archives to retire the records of its predecessor agencies including documents that date back to the early years of the Marshall Plan. Records management staff are also well along in a project that will produce a handbook and guidelines for the orderly disposition of materials that have accumulated at the various field missions maintained by the Agency and its predecessors.

There is also important activity going on with respect to methods of transferring portions of the AID memory to selected LDC institutions. As indicated earlier, this aspect of the memory activity has until recently dominated plans for its utilization. With the recent shift in emphasis giving first priority to internal management uses of the DIS, CDIE has cancelled its plans for the immediate exportation of the system to LDC institutions pending a further study of the most appropriate methods for bringing about such a transfer as a part of the Agency's established programming process. Except to the extent that this activity becomes involved in the hardware/software issues discussed earlier, it was thought appropriate to forego further examination of this aspect of the memory function at this time.

Third, the term "memory" ordinarily conjures up images of the past. In fact, we found that the distinctions between past and present to be at best artificial especially when searching for analogs that are useful in the planning process. In order to avoid distortions that could result

from an overly restrictive concept of the memory function, we have used the term to encompass all available past and current data that could conceivably be useful in accomplishing the purposes shown in the model.

The remainder of this Chapter discusses formal systems other than the DIS that we believe either are or could be used as a part of the lessons learned process. (The full list of systems reviewed in the course of the study is presented in Appendix A.) A later chapter will deal with the importance of the less formal or un-recorded resources.

BASIC DATA SYSTEMS. The Agency's principal source of basic information on the less developed countries is the Economic and Social Data Bank maintained by the Center for Development Information and Evaluation. In addition to producing the country profiles that are used in the development of the Country Development Strategy Statements and which appear in the annual Congressional Presentations, the ESDB is used to produce the following economic and statistical reports:

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

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

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

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

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

LIBRARY SERVICES. CDIE operates a Development Information Center located on the ground floor of SA-18 in Rosslyn, Va. The DIC's

collection of 125,000 technical titles covers the full range of subject areas of interest to AID and others concerned with the development process. The DIC is maintained primarily for the use of AID personnel, contractors and grantees working under AID auspices. It is, however, open to the general public except that borrowing privileges are restricted to AID personnel.

BUDGET AND PROGRAM PLANNING SYSTEMS. Two separate sets of automated systems support the Agency's program planning and budget development and implementation processes. One documents projects and programs from the time they appear in the Annual Budget Submissions through their inclusion in the Congressional Presentation. The other picks up project and program entries after the annual appropriations have been allotted and tracks monthly progress during the operational year.

The most important of these systems from the standpoint of the memory function is the Program Budget Document System (PBDS) which records decisions with respect to amounts for each project or program from the time requests are originated in the field or originating office and through the amounts contained in the annual Congressional Presentations. The basic report produced by PBDS shows the following information for each project or unit of non-project assistance:

- Project Number
- Project Title
- Scheduled date (month) for PID
- Scheduled date (month) for PP
- Type (grant/loan) of initial obligation
- FY of initial obligation
- Estimated FY of final obligation
- Total Cost: Authorized/Planned
- Obligations thru Budget Year minus 3
- Pipeline for Budget Year minus 3
- Obligations/Expenditures - BY minus 2
- Obligations/Expenditures - BY minus 1
- Budget Year AAPL/Funded thru
- Obligations BY plus 1 thru BY plus 4

For a sample of this and other reports produced by the PBDS see Appendix B.

The Operating Year Budgets begin their cycles with the amounts finally approved for each project after the Congress has enacted the Agency's appropriation bill (or equivalent) and track monthly obligations through the current fiscal year. The basic report produced by the newly developed Agency-wide OYB system contains the following entries:

- Project Number
- Project Title
- Type of appropriation (grant/loan)

Amount programmed for OYB  
Budget allowance  
Cumulative obligations  
Available balances (unobligated/unallocated)

A sample of this report is attached as Appendix C.

Two other sets of documents produced in connection with the budget process contain textual and numerical data that are important contributions to the store of project information. They are the Annual Budget Submissions and the Congressional Presentation ABS's are prepared by each of the Agency's Missions and Washington offices for the coming fiscal year in accordance with instructions issued by Washington managers early in the proceeding calendar year. While these instructions (annual budget guidance) may vary somewhat from year to year, they generally prescribe the following format for each country's submission:

Long Plan - FY 1983 - 90 - showing actual, requested, planned and estimated amounts by appropriation account.

Project Budget Data Sheet that up-dates and supports the entries in the PBDS.

Narratives describing new projects proposed for inclusion in Agency's budget.

Proposed ranking of all projects.

Tables describing workforce and operating expenses.

Narratives and tables supporting P.L. 480 requests.

The Congressional Presentation (CP) is prepared by AID/W after Agency and OMB reviews of the Annual Budget Submissions from the field and the central bureaus and offices. In addition to an Agency-wide justification, the document contains the following types of information for each country included in the AID program for the coming fiscal year:

An economic and social data profile

A summary of all forms of US assistance by agency and type for the five years covered by the presentation

A summary of all foreign assistance by donor and international agency

A summary of the total country program by appropriation account

A textual description of the overall country program

A listing of all active projects utilizing the PBDS fields of information described above

A sample of a CP presentation for a single mission is attached as Appendix D.

The forgoing systems record various aspects of a projects life as it moves through the budgetary process. At present, the information accumulated in these systems inot integrated with the information contained in the Development Information System except for the fact that both sets of systems now use the same project identification numbers. There is however a direct link between the DIS files and the computerized index to the current project files maintained in regional bureaus that system, known as the Project Document Micrographic System (PDMS) maintains a standardized automated register of all project documents including the Project Agreement, implementing contracts, and cable correspondence that utilizes the MINISIS software also used to maintain the DIS records. (A copy of the standardized file format is attached as Appendix E). Users are therefore able to use the same terminal arrangements and command modes to access both systems. In the near future the same user will also be able to utilize these facilities to access indexes to current contract files maintained by the Office of Contract Administrations. At present even though the use of the same hardware/software configuration these systems are being maintained separately. Once the current installations are completed, DIHF plans to integrate the DIS and Project Document Micrographic System indexes so that users will be able to search both past and current project data using a single uniform set of commands.

In addition to the systems that support the budget and project management generally, the Agency maintains automated systems which though they designed for other purposes contain information that could conceivably be of interest to program planners. They include:

.Revised Automated Manpower and Personnel System (RAMPS) This system which supports various personnel actions contains staffing patterns and a civilian personnel data files that could be useful in identifying key individuals associated with specific country programs and project experiences.

.BIFAD - Registry of Institutional Resources Provides information on capabilities, experience, and levels of professional staff preparation of BIFAD institutions.

.Contract On-Line Reporting System (COORS) Contains detailed information on all past and present AID contractors.

.Participant Training Information System (PTIS) Contains biographical information and all AID trained participants. The system has been re-designed to run on microcomputers and in the future will track progress of all projects having training components.

As a result of its review of these and other information sources, the team is of the opinions that the Agency has a large store of information concerning its programs and projects that is not now being used as a part of the planning process but which if properly presented and/or made more accessible could contribute to the lessons learned process.

## CHAPTER VII

### THE IMPORTANCE OF INFORMAL NETWORKS

During the course of these investigations, a senior former AID officer being interviewed remarked that "it is the conventional wisdom in the Agency that livestock programs don't work". Asked what effect this proposition has in the real world, the official replied, "you don't get many livestock programs approved". Another senior officer who had recently returned from a tour of duty as a Mission Director in Africa when asked to comment on these remarks, responded that he had documented evidence of their authenticity in the form of a memorandum from the Administrator which approved a proposed livestock program with the preface ". . . while it is the conventional wisdom within the Agency that livestock programs don't work, the program you have presented is sufficiently different . . ." When this story was recounted to a former Assistant Secretary of State, who has also served as an Ambassador to several Latin American countries, he remarked "[even] I know livestock programs don't work!".

The preceding story is recounted here to illustrate the powerful role non-formal, and for the most part unrecorded, historical information plays in the Agency's decision-making apparatus. Three of the most recent studies, including the 1982 GAO Report, make this point but then either disregard or discount this type of information as a legitimate source of learning. Based upon these findings and our own examinations, we have identified four sources of informal or unrecorded information that are widely used by program developers and project designers. They are:

°Conventional Wisdom These are the tenets like the one cited in the foregoing illustration that "everyone knows". They can have powerful, but largely invisible, impact on what does or does not get considered in the design of projects and, as we have seen, can have an equally powerful effect on the review and approval of project proposals. Contrary to the attitude taken in previous studies, this report views conventional wisdom as a valuable resource that should be nurtured and preserved. Steps to accomplish this are included in a later section of this report.

°The "Old-Hand" Network Like the tenets everyone knows, these are the people everyone knows who have knowledge of some particular aspect of the Agency's business and whose opinions and assessments are held in high regard. In reality, this resource is more of a conglomeration of overlapping networks than a single network since various individuals have their own favorite sources to whom they look for information and advice on given subjects. As is the case with respect to conventional wisdom, this report differs with positions taken by previous studies in that it considers the "old-hand" networks to be a valuable asset and an integral

part of the Agency's institutional memory. Steps to strengthen the role of the network and make it more accessible to the uninitiated will be suggested in a later section.

◦The Institutional Network Frequently throughout these investigations comments have been made that "if you have a fisheries problem you go to the University of 'X', " or "If you want to know about grain storage, call the 'Y' University". The fact is that more often than not the sources mentioned in connection with a particular subject are members of a highly specialized core of institutional contacts covering a wide variety of technologies that have been developed through years of association with AID programs. These contacts are known to, and used by, project designers and others involved in the program development process. As is the case with other forms of the informal memory, the Agency does not advertise the existence of the institutional network except as these sources may be included without notations as to their relative level of esteem in BIFAD's Registry of Institutional Resources system.

◦The AID Contractors As with the institutional associations, the Agency has through the years developed a network of organizations who because of long-established relationships appear to have an edge on their competitors in obtaining AID contracts. Claims of preferential treatment for some of these organizations are stimulated by the fact that many are either owned by or hire former Agency employees. The view here is that so long as the proprieties of the already cumbersome procurement process are fully observed, the Agency should take full advantages of the benefits to be derived from those firms and individuals who have had successful experiences with the Agency in the past.

One reason the above four resource categories tend to receive only passing attention is a consequence of their ephemeral nature which makes them less susceptible to systematic manipulation as are the other forms of information resources. Given full recognition of their real value, this should not preclude the application of creative minds to utilize innovative methods for enhancing their use in the planning process. We could foresee, for example, a project designed to capture conventional wisdom merely by surveying a hundred veterans and asking them to list their own "ten commandments." Similarly, additional work could be done to expand and/or extend exit interviews with retiring officers in order to obtain anecdotal histories of the high spots of their careers. These efforts could conceivably utilize the formalized oral history techniques now taking their place as legitimate forms of social science research.

Regardless of whether or not these suggestions prove feasible, the Agency should remember that these resources are being used to good effect by the vast majority of its managers and that it should, when called upon, take credit for their existence.

## CHAPTER VIII

### THE ROLE OF EVALUATIONS, ANALYSIS AND OTHER FORMS OF RESEARCH

A major theme we encountered throughout the course of this study has to do with the felt needs among program managers for interpretive as opposed to experiential data. This is not to say that there is no audience for the latter, but merely to point out that those on the firing line do not find original source material to be particularly useful in the design as a rule and approval of project proposals. What people in the mainstream are looking for, and what we believe they would use if it were available, are the axioms or the "doctrine" against which their proposals will be judged. To go back to the story about livestock programs, project designers do not have to peruse past project documents to find out that livestock programs do not work. Somehow a distillation of that experience has already taken place since now everyone knows that livestock programs don't work and that, unless you have something out of the ordinary in mind, you don't bother to propose one. According to one senior official, the thirst for ready-made axioms is reinforced by a system that tends to offer more rewards to those who get their proposals approved quickly than to those who take the time to thoroughly research their designs.

These factors put a high premium on Agency activities concerned with (a) the identification of analagous experiences (b) the interpretation and evaluation of the Agency's experience, and (c) the development of a doctrinal base for the conduct of foreign assistance. An examination of some of the activities that contribute to the satisfaction of some of these requirements follows.

IDENTIFICATION & RETRIEVAL OF ANALOGOUS EXPERIENCES. The Center for Development Information and Evaluation is the focal point for the storage and retrieval of the Agency's substantitive information. Under its current organization, the Center provides two sets of services designed to assist qualified persons find the information they need for their own particular purposes, and, when appropriate, furnish them with copies of that information in a form most suited to their needs.

The first of these is provided by the Development Information Center (DIC), which maintains a small staff of reference librarians who are available to assist clients find the information they are looking for and, when appropriate, develop tailored information packages and bibliographies.

The second of these services is provided by a separate staff of research assistants in CDIE's Development Information Division. This staff assists eligible individuals access the DIS and other private and

public on-line databases including the National Library of Medicine and the U.S. Department of Energy. The normal procedure for obtaining this service is to submit a request in writing indicating the nature of the information desired and the purpose for which it is to be used. Based upon this request and their general knowledge of available information, the CDIE researchers search the DIS files and, if it seems appropriate, other data bases at their disposal. Upon completing an initial search, the researcher may contact the original requestor to obtain some clarification of exactly the kind of information desired.

The provision of search and retrieval services in connection with the DIS has been the subject of a good deal of attention in recent years. In its 1982 report, the GAO cited the failure to adequately provide such services as a major reason for the under-utilization of the DIS by AID program developers. In a more recent study, the firm of Arthur D. Little, Inc. reached somewhat similar conclusions regarding ways to improve the utilization of AID experience and evaluations.

The GAO and A.D. Little recommendations have been generally accepted by the Agency and additional staff have been included in the organizational arrangements for CDIE to perform these functions. At the same time, CDIE has been moving in the direction of making the DIS more of an inter-active system in which end-users will have an opportunity to query the database directly. Toward this end, CDIE is developing front-end menus to the MINISIS searching procedures that will facilitate easier access to the DIS materials and has embarked on a program to train regional bureaus in the use of the system. While we respect the recommendations made in these earlier studies, and commend the efforts of CDIE to make the DIS data more accessible to AID program managers, we believe both the recommendations and the CDIE efforts confuse two critical issues.

One of these issues has to do with the mechanics of making the DIS material available to particular audiences, and the other has to do with the value of that material for the audiences to whom it is directed.

With respect to the former, as has already been indicated, the MINISIS database management system was designed primarily as a bibliographic tool to be used by researchers and scholars. While more user friendly than many of the more widely used large volume systems, it is cumbersome and somewhat time-consuming for occasional general users. It follows, therefore, that the provisions of an intermediate "research" staff and the modifications now being undertaken to make MINISIS more friendly are steps in the right direction if one assumes that the contents of the system are in fact of use to the end-user, in this case AID project designers and program managers. It is at this point that our investigations lead us to differ with the conclusions of the previous studies. Here, we would like to make a clear distinction between the two classes of DIS users. First are the LDC institutions, researchers, scholars, and technical experts. While we have not interviewed this

audience extensively, we have been led to believe that they find the DIS materials (references to and abstracts of selected project documents and technical reports) useful. Steps to provide reference assistance, to improve system user friendliness, and to distribute the materials more widely would therefore appear to be of benefit to this class of user.

For the second class, namely AID project and program managers, the answer is not so clear-cut. Most of the members of this category we have interviewed, when actually exposed to the DIS output, did not find it particularly helpful. To explain this reaction one has to first look at the DIS output. The DIS materials are arranged in two sets of files. The first deals with project related information and the other with technical reports and evaluations. An example of the format for the first set is attached as Appendix F. As will be seen from this example, the user obtains (a) some general information identifying the project, (b) an abstract of the project design document, (c) abstracts of project evaluations and audits, and (d) references to technical reports and evaluations that have been keyed to the project. Most managers report that a listing of analogous projects together with the abstracts of evaluations and audits is interesting but of limited use when it comes to designing their own projects. Going the next step and obtaining the technical reports referenced in the DIS project-based output runs the risk of receiving too much or too little. While of some help, where they exist, the abstracts provide interesting general information but again require further exploration to get materials specific enough to be of any real use. All of this takes effort and time which line managers either do not have or are reluctant to use. For these and other reasons, we found that most Agency officers would not seek out DIS data even with the help of the type of reference services described above unless they are (a) already generally aware the existence of a item and want to retrieve the source, or (b) are among the uninitiated that do not have access to the less formal forms of institutional memory discussed earlier.

Our findings in this area contribute heavily to the conclusion stated earlier in this report, i.e. unless there are other cogent reasons for doing so, the potential use of DIS materials as an aid to program development and/or project design does not justify the expenses of either (a) transferring the DIS collection to the field, or (b) providing field offices with on-line access to the Washington-based data bank.

EVALUATIONS. Evaluation is an important part of the management process and it is not surprising to find evaluation functions under various guises in all well-managed organizations. Few, however, make as much of the function as does AID. (The only other recent example that comes to mind is OEO, which like AID was innovative and controversial, a fact that may explain the degree of importance placed on evaluation activities in both agencies.) In addition to the administrative audits common to all Federal agencies, AID has traditionally subjected each of its projects to the most rigorous evaluation procedures. Current

regulations require that every project be evaluated twice: once at the project's mid-term, and the other upon its completion. The exact timing for these evaluations, as well as the criteria to be used in assessing success or failure, are usually spelled out in the Project Paper. Approximately 300 project evaluations are accomplished each year under general procedures and guidance provided by CDIE. The evaluations themselves are actually conducted by regional bureau/mission teams sometimes augmented by contractors or consultants engaged solely for that purpose. All project evaluations are recorded in the DIS, many of them in abstract form.

CDIE also produces a number of supra-project evaluation reports. Those currently in production are:

- Project Impact Evaluation Reports: The evaluations in this series are based on fieldwork by an interdisciplinary team. They examine the intended and unintended impacts and the contributing factors of AID-funded projects in areas of priority interest to Agency management.
- Development Experience Abstracts: These abstracts provide quick reading summaries of impact evaluations for AID managers.
- Program Evaluation Discussion Papers: A series of twenty reports provide background information and sets forth issues on topics of priority interest to AID. Often prepared prior to undertaking fieldwork in an "impact evaluation" area, the Discussion Papers provide a critical examination of assumptions and practices in a sector in the context of the Agency's mandate. These papers average 100 pages in length.
- Program Evaluation Reports: Reports in this series of twelve provide information on evaluations of entire programs, whether from an individual country, regional or Agency-wide perspective. This series includes the papers that are developed once project-level impact evaluations have been completed for a sector or topic and a synthesis of findings can be presented. The series also includes the conclusions of agency workshops on topical or sectoral areas, bringing together AID experience. They include specific statements on lessons learned.
- Special Studies: A series of twenty occasional papers and reports produced by CDIE and elsewhere in the Agency that provide evaluative or other evidence that contributes to the Agency's knowledge of special projects or programs, such as the series on private sector development projects. These reports average 125 pages in length.

- Working Papers: These are reports produced by the office staff or contractors that have not been published or widely disseminated. They frequently review AID experience on cross-cutting issues of concern, such as project implementation problems, effectiveness of cooperatives, capital-saving technology, etc.
- Evaluation Methods Reports: This series provides methodological guidance, resource directories and bibliographies to support AID personnel in the evaluation of projects and programs.

A list of the available reports in these series is attached as Appendix G.

CDIE has added a new series of "analytical" reports that will result from recently inaugurated "Development Experience Reviews". The purpose of this effort, which was included in CDIE's portfolio specifically in response to criticisms in the GAO report, is to:

- Examine in-depth projects that have been completed clustered around sub-sectoral development topics. These evaluations attempt to determine the impact of A.I.D. assistance on a Developing Country's economic and social growth and on its poor communities and to answer questions about the effectiveness of aid. They look into issues of project sustainability and successful and unsuccessful activities and practices. They review the policy, institutional, technological and private sector features of the projects. From these evaluations and from special conferences of experts, CDIE hopes to identify "lessons learned" which can be extended to others planning new programs.
- Provide syntheses or summations of experience concentrating on pulling together the extensive existing material already available in evaluations and technical reports in AID and other development agencies. They provide insights on development trends and on issues common to projects in different categories. They are both broad in scope in evaluating Developing Country or international development trends that impinge on project effectiveness and are restricted in looking at questions internal to project design and implementation that enhance or diminish the quality of project activity. They also can provide useful background on experience for the new areas of AID interest such as urban development.

Development Experience Reviews will be conducted in two categories:

- Impact Evaluations. In-depth examinations of completed projects in selected development sectors of interest to AID.

- Development Experience Syntheses. Special summations of existing evaluations, technical reports and development statistics with possibly some limited fieldwork.

CDIE has also recently expanded its capacity to undertake relatively sophisticated statistical analyses. These analyses utilize the Agency's statistical databases and established quantitative methods to assess major socio-economic development progress and problems and to analyse the impacts of government and donor programs and policies upon these trends.

Our reaction to CDIE's new initiatives is again mixed. On the one hand, we believe the type of research they represent, namely attempts to build upon the record of AID's experience and to distill from that record lessons that can be applied to current operations, is definitely a step in the right direction. On the other hand, we question whether the nature of the efforts and the form in which the products are being presented will in fact have much impact on the day-to-day activities of AID managers. We shall have more to say about this in the final Chapter of this report.

## CHAPTER IX

### THE PROGRAM PLANNING PROCESS

The programming process is the key activity which allows Agency staff to incorporate relevant experience to improve the potential success of US foreign assistance in the LDCs. The process has changed over time and continues to evolve with more and more of the projects' planning and approval occurring in the Missions. An understanding to this process is integral to an appreciation of the difficulties in applying the concept of lessons learned. The team has attempted to summarize this process historically as well as describing current policy initiatives that have occurred or are about to occur in FY 1984 and FY 1985 as a necessary back-drop to the discussion of the application of lessons learned to the work of the Agency in Chapter X.

The evolution program planning of process has been influenced by a number of forces including:

- The policies, procedures and attitudes inherited from AID's predecessor organizations -- e.g., the International Cooperation Administration and the Development Loan Fund.
- A continuing desire to reconcile both internal and external (chiefly Congressional) influences with the need for a more efficient and effective program and budgeting approach.
- The inevitable tensions that exist between the functional and geographic functions.
- The shifting emphasis with respect to degrees of centralization and decentralization.
- Changes in the number and nature of constraints imposed upon the Agency by the Congress and/or executive regulatory agencies.

The combination of these factors and the changing requirements of the various players in the planning process has brought with it a series of changes in the documents and procedures used to manage that process and reach final decisions with respect to the Agency's work program.

Characteristics of the Agency's early project assistance cycles were:

- An inclination to subject loans to much greater documentation detail and review than grants

- An emphasis on long-range planning and articulation of general action strategies, as opposed to generating detailed descriptions of project mechanics
- A unified project and budget review process, in which a single instrument served as the documentation vehicle
- A decentralized, mission-oriented project review authority.

These features were exemplified in the Long-Range Assistance Strategies of the early sixties which limited project discussion to a listing of general approaches to be applied in addressing the LDC's long-range needs. Technical assistance grant design at that time was at the discretion of individual country missions and only budgets were subject to AID/W review. Loan papers doubled as budget documents.

The initial decentralized posture was by no means a consistent one and, as time went on, successive revisions defined increasingly greater review authority for Washington. In the interest of consistency, the requirement that loan papers provide detailed implementation mechanics, which were subject to Washington review, was generalized to cover grants. The resulting Project Paper (ProP) of the late sixties was sufficiently cumbersome that the desire to also use it as a budget instrument was abandoned after only one year of its application. Consequently, it became necessary to formulate a Preliminary ProP which was used for both budgetary and technical review purposes. Thus began a process of elaboration on documentation requirements which ultimately resulted during the mid-seventies in the production of:

- Project Identification Documents (PIDs), which doubled as input to the Agency's in-house Annual Budget Submission (ABS)
- Preliminary Review Papers (PRPs) which, in addition to addressing questions raised in preliminary Washington reviews of project concepts (PIDs), were the required basis for the Agency's Congressional Presentation (CP) of its annual budget request
- Project Papers, which were the final, detailed statement of project intent and were the foundation for project agreements.

All of these instruments were required to be developed in conformity with a long-range plan then called the Development Assistance Program (DAP).

The characteristics of the process that developed in conjunction with the evolution of documentation included procedures in which:

- Loans and grants shared the same highly detailed examination and justification requirements, even to the extent of having common agreement formats

- Grant project documentation absorbed a significantly increased portion of the review time
- Six formal documents were needed to support dual project and budget formulation streams

By the mid-seventies, the review and approval process had become highly centralized and was viewed by some as having become too cumbersome. A process of simplification was initiated in 1976 that in the following years resulted in a series of changes:

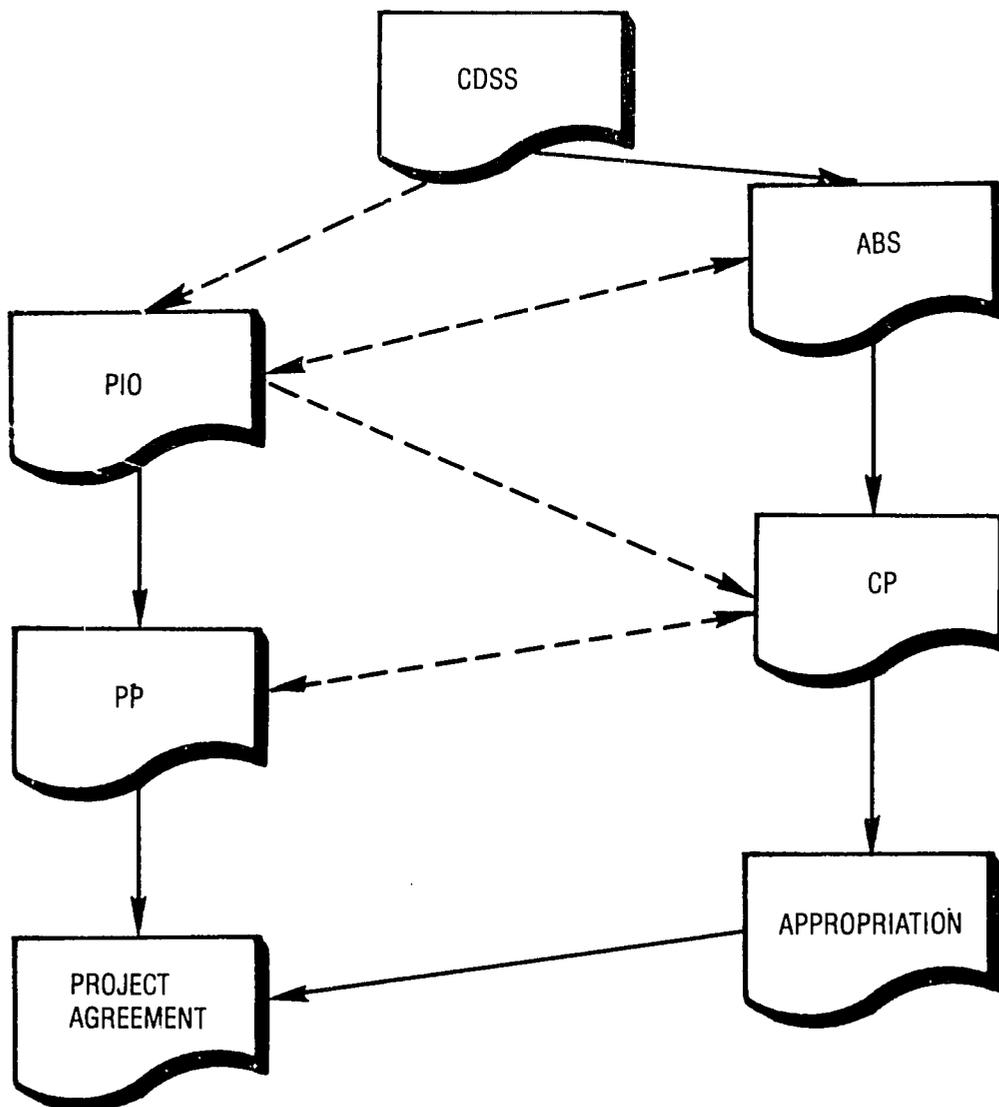
- A centralized method for managing and tracking the process of project development -- the Project Budgeting and Review system (PBAR) -- was abandoned, because of the view that it contributed excessively to the workload relative to its return in expediting processing.
- The role of the central Program and Policy Coordination (PPC) Bureau in review and approval of projects were reduced by exempting those below \$2.0 million in Life of Project (LOP) funding. Ultimately, the exemption threshold was increased to \$10.0 million and PPC's role in reviewing smaller projects was confined to the PID stage only.
- The PRP was eliminated as a necessary intermediate step in the project development, review and approval process. This determination began a move to sever that cycle from the budgeting process by cancelling the need to have an approved project document as a foundation for the CP.
- Mission directors were authorized to give final project approval on PPs of \$500,000 or less.
- The PID was "de-cycled." That is, the requirement that an approved PID serve as the basis for an ABS budget entry was eliminated.

Simultaneous with these process and procedural changes, the long-range planning and the fundamental methods of allocating Agency resources were also being altered. Previous budgets had been built up by missions' and bureaus' competing against one another for Agency funding of individual projects. Resources tended to follow skill in documentation (as opposed to substance), procedural expertise, and organizational influence. Beginning in 1981, budget formulation procedures were changed to reflect a formula distribution of resources based on "need" and "commitment". Need was scaled by relative population and per-capita income, while commitment was determined by a consensus rating of the subject LDC's extent and equitability investment in

developmental programming. Allocations providing mission-by-mission spending target levels were made for each of the five out-years. A new long-range planning document, the Country Development Strategy Statement (CDSS), was designed to justify (or recommend altered) target levels and to phase required implementation strategies for the planning period. The rationale given for this approach was to reduce the budget process by pre-justifying each year's country allocation.

As the matters now stand, project assistance documentation officially consists of the elements shown in the following chart and described in the following paragraphs.

### Project Assistance Documentation Process



°Country Development Strategy Statements (CDSS)--These are 5-year planning documents which present the general strategy for development in each country. The CDSS provides both a general analysis of the socio-economic circumstances and needs of the subject country, and an outline of the action strategies in each sector likely to alleviate those circumstances. In addition, the discussion of treatment approaches provides a phased plan of action for each sector consistent with targeted spending for each plan year.

°Project Identification Documents (PIDs)--Brief papers outlining the basic conception for each project. PIDs serve three primary functions:

- There are the means by which the basic acceptability of a project is tested throughout the AID clearance network, at mission, regional and central bureau levels.
- They are the focal point for technical and other types of criticism constituting primary input to the final formulation process.
- They are the basic vehicle by which mission (or bureau) "commit" to a project and indicated this commitment for budget "reservation" purposes.

°Project Papers (PPs)--The final, complete and very detailed statement of: the local conditions necessitating a proposed project; the actors and activities proposed; the methods and phasing of implementation; the anticipated costs; and the nature focus and extent of expected impact. PPs are the foundation upon which formal project agreements are negotiated.

°Annual Budget Submissions (ABS)--The process and resulting document by which AID internally estimates, reviews, deliberates, and finalizes its annual project-by-project funding needs. The ABS ultimately is the focal point for negotiations with OMB and other executive agencies concerned with budgets and foreign assistance and is the basis for AID's annual appropriation request to Congress.

°Congressional Presentation (CP)--The annual document in which AID describes to Congress: its general policies, objectives and emphasis in foreign assistance for the budget year; the specific new and continuing projects proposed, along with their estimated costs; and the appropriations requested by major sector title. Although the level of detail required in the CP was somewhat reduced during the past year, it remains a very comprehensive and, consequently, massive document, necessitating a like commitment of resources to its production.

During the past two years there has been a steady movement toward concentrating Washington level reviews on country programs and delegating

more authority for project management to the field. In November 1983 the ASIA Bureau undertook a series of steps as experiment designed to:

- Lighten the burden of CDSS preparation on the missions and increase the intensity the AID/W review process;
- Streamline the PID's and PID review process; and
- Increase mission's pre-implementation, implementation and project redesign authorities.

Under this plan, the ASIA Bureau has:

- Simplified its guidance for the CDSS; reduced requirements their submissions to once every three years, and announced the intention to devote a full week to their review by top management and mission director prior to their approval in Washington.
- Initiated the practice of preparing annual work plans which would serve as the basis for in-depth reviews with top management of the missions current programs portfolios during scheduled "program weeks".
- De-emphasized the ABS as the basis for program decisions.

In November 1984, the Administrator issued a memorandum applying a revised version of the ASIA Experiment to the other three AID regions. As amended, the procedures now call for extended CDSS reviews every three years, intensive work plan reviews for the two off-years, and a delegation of PID authority for all projects with an LOP of under \$2.5 million. In addition, the memorandum urges regional directors to explore further the possibility of delegating project approval authority for projects above the \$2.5 million threshold whenever reviews of CDSS's and the country work plans indicate such action to be feasible.

Along with changes affecting program planning and project design, the new procedures propose to strengthen Washington overview of program performance by initiating in-country and in-Washington assessments that are intended to immerse top management at all levels in intensive reviews of progress on a country-by-country basis. As is the case in the program planning and project design areas, these assessments have been divorced from the budget cycle so that they may be spaced throughout the calendar year and thereby avoid the peaking effect of the annual budget process.

While these changes have yet to take full effect, it is obvious they will have an impact on the use of the AID memory in conjunction with program planning and project design. Some speculation about the nature of that impact and suggestions for coping with it are included in the next Chapter.

## CHAPTER X

### APPLICATION OF LESSONS LEARNED

The exact origin of the use of the phrase "lessons learned" as applied to AID is unknown. We have been told by GAO and others that there is a precise Congressional mandate emanating from the late sixties, but to date we have been unable to find the source document in which the phrase was used. Though not unknown in other circles (the military, for instance, have used the phrase to describe the results of assessments of their field operations), nowhere to our knowledge has the term been given the status it has achieved in connection with the administration of foreign assistance. And while its origins may be obscure, the fact remains that both in the minds of the investigators and generations of AID managers, there is an undisputable notion that the Agency should profit from its mistakes and learn from its experiences. There are of course good reasons for this position. The very nature of the Agency's mission requires it to rely heavily on experiential learning.

Until the World War II technical assistance efforts in Latin America and the post-war initiatives in Europe and the Point Four countries, there were no precedents for government-to-government economic assistance designed to improve the general welfare of recipient nations through the development process. Despite a considerable amount of research in and out of government, there is still precious little universally accepted doctrine on either the development process itself or the manner in which it can be induced or influenced by outside forces. And of course, there has been from the very beginning a tremendous amount of public pressure not to make or repeat what are perceived to be mistakes.

While there are, therefore, good and sufficient reasons for efforts to apply lessons learned from past experiences to the formulation of new and continuing programs, it should also be recognized that there are some very real limitations to that process. Foreign assistance is, after all, a high-risk enterprise, and the fact that it has few historical precedents to fall back on means it must operate on a trial and error basis that necessarily involves some mistakes. Because the U.S. contribution to the development process in any given situation is at best marginal, it is extremely difficult to evaluate the success or failure of that contribution in terms of in-country end results. Evaluations are further complicated by the fact that assistance is sometimes predicated on other than economic development objectives.

Despite these obstacles, AID and its predecessor agencies, both on their own initiative and in response to outside pressure, have done a rather remarkable job in attempting to preserve the records of the past and to apply them to current operations. The fact that these efforts have not always been met with approval by the Agency's critics is due in

part to disagreement with the prevailing policy preferences and/or a refusal to recognize the formal and informal constraints within which the Agency must operate.

Certain internal factors associated with the management of foreign assistance have also inhibited both the formulation of lessons learned and the application of those lessons to the planning of new projects. Chief among them have been:

- A long history of decentralized operations which complicate the transfer of knowledge because of the large number of decision points involved.
- Constantly changing nomenclatures and inconsistent standards of documentation that have made comparisons difficult and have inhibited an acceptable level of analysis over reasonable lengths of time.

It is not the purpose of this report to comment on these factors except to point out that they have had a significant impact on the formulation of the Agency's institutional memory and the degree to which it is or is not used.

A study specifically commissioned to determine how program managers use past experience for such planning purposes found that:

- AID personnel use information on past experience more extensively when they are developing Project Papers than when they are preparing PIDs.
- AID personnel use a variety of methods for tapping a wide range of sources of information on past project experience.
- The most used method is personal contact.
- AID personnel consider documentation on past project experience to be supportive only.

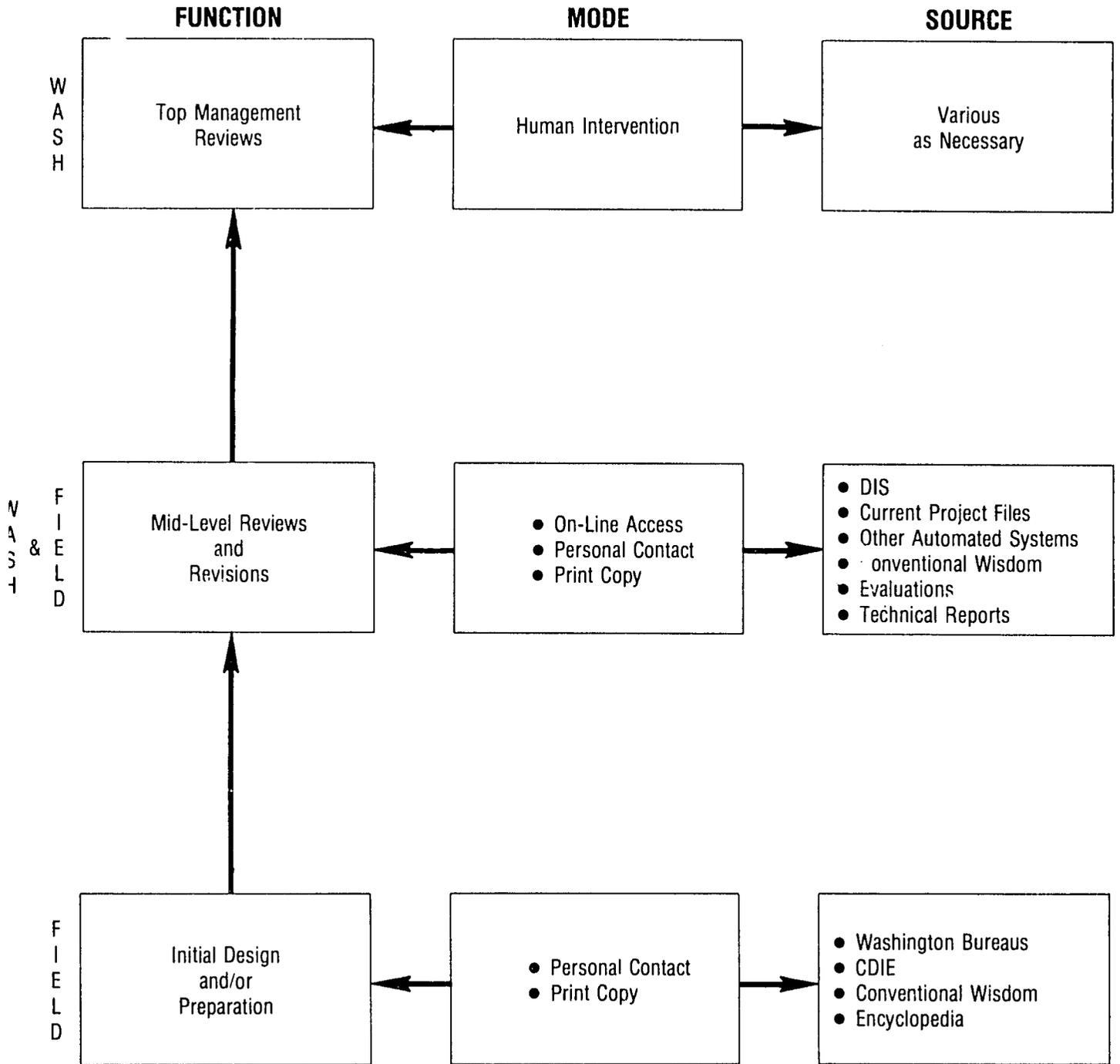
(A fuller discussion of these findings is contained in the attached Working Paper B entitled Information Resources Used in AID's Project Planning Process.)

Our own investigations both confirmed and expanded upon these findings. To begin with, we should dispell the impression one gets from reading the literature on the AID memory to the effect that somewhere out there there is a "project designer" who when given the right opportunity can sit down and review past project experience, sort it out, and by relating it to the problem at hand, design a project, as a false and dangerously misleading picture of how things really happen. In the real world, the germ of the idea for a new project may come from a newly

appointed Mission Director, from the head of an influential host government agency, from a raw recruit on his or her first posting, from a technician in Washington, from a Congressional staffer, or from all or none of these sources. Regardless of the source, the actual design of the project from conception to final approval and initial funding will take many months and involve fifty or more individuals working at all levels within the organization. The problem of determining where and how best to inject lessons learned into this process is, we have found, considerably more complex than suggested in the previous studies.

In the end, we became convinced that there is no single point in the planning process at which lessons learned can best be injected nor is there any one method that will positively guarantee that the lessons will, in fact, be applied to current operations. And, as we have repeatedly stated, we do not view these so-called lessons emanating from a single source within the Agency's store of information. Instead, we see the AID "memory" as a number of resources that, if readily available in a useful form, will be consulted by program managers and others involved in the business of formulating and directing the Agency's business. We further see these functions operating on two levels, one supporting the development of doctrine, and the other making that doctrine along with other pertinent information available to those involved in the planning process. The degree to which end-users avail themselves of these resources, and the methods they will use to obtain them, are determined by perceptions of relevance, credibility, utility, and ease of access. It is, for example, unreasonable to expect a busy program officer in some remote location taking the time and effort to seek, obtain, and digest a pile of unannotated references to, and abstracts of, past project documents which may or may not have some bearing on a particular problem for improving agricultural production in semi-arid countries. We would, however, expect that this same officer would find such material instructive if it were offered as part of a course at the Foreign Service Institute, or even more valuable if he or she were engaged in constructing a doctrinal statement on agricultural production in various parts of the world.

Taking this line of reasoning one step further, we have concluded that the utility of original source material varies inversely as one moves from project designers and decision-makers toward those responsible for researching and evaluating the Agency's experience. These thoughts have led us to construct the following model for the application of lessons of learned to the program planning process.



Two innovations shown in the model warrant further discussion. One is the reference (first block; second column) suggesting a human intervention as an input to top management reviews of key program planning documents. During the course of our study we talked to the then Counselor to the Agency and the head of the ASIA Task Force about their notions concerning changes in the program planning process. Both indicated that a key element in the reforms they had in mind would be the inauguration of a series of high-level reviews attended by the Administrator and a limited number of key officials at which final decisions regarding country strategies and, in some cases, major projects would be hammered out. If this, in fact, is the way in which the major decisions affecting the Agency's program are to be made, we believe that these meetings would be an ideal forum for the Administrator to assure himself that adequate consideration is given to lessons learned and that with this end in mind the discussions should include a full consideration of past experience bearing upon the subjects under deliberation. This, in our judgement, could only be accomplished if a single individual specifically charged with the responsibility for bringing this perspective to the group's attention is included in the meeting. Our notion is that this intervention would be in the form of a member of a small highly qualified staff assembled solely for this purpose who would, as a matter of course, receive advance notification of all reviews together with the pertinent documents, and who would then be responsible for undertaking the research necessary to ensure that all relevant past experiences had been examined, evaluated and verbally brought to the attention of the deliberating body during the course of its discussions. While we have no firm convictions about the organizational location of such a staff, it should probably be part of the Office of the Administrator and report to a senior official, possibly the Counselor. If this were done, the Counselor's responsibilities could also be amended to include responsibility for seeing to it that the lessons learned functions were in fact observed not only at the Administrators level but throughout the Agency.

A second innovation contained in the model is the reference to an "encyclopedia" (lower right hand box). This suggestion reflects our conviction that first-line field officers do not benefit from, and for the most part will not use, the kind of original source material produced by the DIS in connection with their project design efforts. We believe the most useful tool for this purpose would be a volume of encyclopedia-type articles dealing with the state-of-the-art in the subjects most likely to be encountered in the design of new projects. (A prototype of the kind of article we have in mind has been developed by CDIE and is attached as Appendix H.) These articles would draw upon the full range of available materials - source documents, project and supra-projects evaluations, case studies, technical reports, demonstrations, as well as the conventional wisdom - but would differ from currently end-products in that they would be (1) short, concise and to the point, and (2) present the current state-of-the-art on the full range

of subjects and topics likely to be encountered in the formulation of AID programs. Our investigations lead us to believe that an encyclopedia of this type could be developed from the store of information now contained in the Agency's files, and that if disseminated in an attractive form would find an appreciative audience among field officers many of whom are relatively isolated from the normal flows of information.

The rest of the model is self-explanatory. It reflects our general conclusions with respect to the most appropriate sources of information and the most effective modes of transmission for the several levels of Agency program activity. In essence these conclusions stress two points: (1) there are many sources of information that can contribute to the formulation of lessons learned, and (2) the more sophisticated on-line modes of transferring original source materials are most appropriate for mid-level Washington users and do not serve the needs of either top management or project officers in the field.

In conclusion, it should be noted that none of these suggestions nor any of those contained in other portions of this report presumes that there are in fact "lessons" to be learned, that apply to all of the situations faced by AID programmers. The development process is as we have said an enormously complex subject about which we at best have only a fragmentary understanding. AID and its predecessors have compiled and preserved an extensive record of their experiences and investigations. Whether, or not this body of information and knowledge can be transformed in lessons learned in an operational sense depends on the efforts of CDIE and others to continue to work on the distillation of these resources, to find new ways of expressing that distillation in operational terms, in the final analysis whether or not this endeavor has progressed to the point where we can with certainty demonstrate that this or that does or doesn't work.

## WORKING PAPER A

### EXPERIENCE--A POTENTIAL TOOL FOR IMPROVING U.S. ASSISTANCE ABROAD Report to the Administrator, Agency for International Development

Prepared by the U.S. General Accounting Office  
June 15, 1982

Congress had expressed concern that AID should improve future development projects on the basis of lessons learned from agency evaluations, and that AID must ensure replication of successful projects elsewhere in the world. This report reviews how AID identifies, records and uses the knowledge and experience it has gained, and is still gaining from its development projects.

The objectives of this review focused on determining:

- whether the knowledge and experience that AID gains from designing, implementing, and evaluating projects are being used in project design and implementation;
- how well the experience from other projects is being identified, recorded, and entered into the institution's memory system; and
- the extent that AID staff use, and find useful, the AID Development Information System (DIS) to obtain and incorporate past experience in project design and implementation.

### METHODOLOGY

During the period September to December, 1981, GAO asked AID project officers how they identify, record and use experience in designing and implementing projects. They interviewed over 120 staff members in the AID Africa, Asia, Latin America, and Near East regional bureaus, as well as staff members at missions in the Dominican Republic, Honduras, Mali, Morocco, and Thailand, and at the regional development support offices in the Ivory Coast and Kenya.

The above staff, as well as the officials who manage and operate the DIS, were asked:

- what use is made of the system?
- to what extent has this information been entered into the institution's memory system?

In addition, five completed projects, all involving agriculture, were reviewed to determine how well their past experience had been identified and recorded and to what extent the information had been entered into the institution's memory system.

### MAJOR FINDINGS

The Agency operations staff does not appear to consider the

identification, recording, and use of lessons learned a high priority. Rather than being viewed as useful for helping someone have the same success or avoid making the same mistakes, recording and using lessons learned are viewed as requirements with which need to be minimally complied and filed locally--if not otherwise avoided.

Although AID requirements that encourage the use of lessons learned exist, AID staff generally are not aware of such requirements. However, the AID staff does apply lessons learned in developing new projects, although application is restricted primarily to the personal initiative and experience of individuals involved in a particular project. This personal experience network is weakened due to staff turnover.

GAO found that documents are not always prepared to record the experience gained during a project. And even when these documents did exist, often the purpose of generating them was not to capture and record lessons learned. Even if so intended, they often did not in fact do so. The documents being generated were also generally more historical or factual in nature than analytical.

GAO found instances where the official Washington files did not contain lessons-learned documents which had indeed been generated on a project. They could not find any single explanation for this omission.

Furthermore, there appears to be little incentive to improve the preparation of lessons-learned documents. Some AID officers felt that the Agency has a greater concern for starting projects than for having them implemented, and project designers are rewarded accordingly.

DIS does not always receive project documents and project data is missing from the system. Moreover, members of the AID staff generally have not used, are not aware of, and/or do not know how to use DIS. Some AID staff have formed negative, erroneous opinions of DIS.

Based on previous appraisals and on discussions with AID staff, GAO believes the most serious problems facing DIU's operation of DIS are the following:

- The AID staff in Washington and overseas generally do not know about DIS.
- DIS does not obtain user feedback.
- Documents are not always provided to DIS.
- Information analysis is not performed.

As a result, DIS has become virtually non-operational in providing lessons learned to project designers and DIU has inadequate records of project experience.

The AID staff in Washington and overseas has two opposing views on whether DIS use should be required or simply encouraged: (1) top-level AID management should emphasize and require DIS use, otherwise it will not be use

d; and (2) there should be no mandatory DIS use because when the AID staff is aware of DIS and find it useful, they will use DIS without being required.

### MAJOR RECOMMENDATIONS

GAO recommends that:

- (1) The AID Administrator require that the AID staff identify, record, use, and forward to DIU, lessons learned in project design and implementation. Incentives should be instituted to support these requirements.

The Administration should implement actions to:

- (2) increase AID staff awareness of the information available from and how to use the DIS.
- (3) require that the system be used.
- (4) ensure that the system receives project and related lessons-learned documents.
- (5) require an exchange of constructive feedback between the system and AID staff.
- (6) establish an information analysis capability to assist AID project designers and program managers.

IMPROVING UTILIZATION OF AID EXPERIENCE AND EVALUATIONS  
Final Report to USAID

Prepared by Arthur D. Little, Inc.  
December, 1983

The 1980 Evaluation Task force of AID identified inadequate utilization of the Agency's experience as a priority focus of AID's staff. This study of opportunities to improve the utilization of AID's evaluation information is one of several actions initiated by AID's Office of Evaluation in the Bureau for Program and Policy Coordination based on the recommendations of the 1980 Evaluation Task Force. It also responds to concerns expressed in the June, 1982 GAO Report.

As part of the overall effort to improve use of AID's corporate memory, Arthur D. Little, Inc. (ADL) was commissioned to identify mechanisms and procedures which could improve use of existing evaluations and other experience based information. Specifically, the contract team was to:

- Develop ideas for improving information use based on an analysis of the reasons why this information was not being used.
- Specify, and where possible carry out, experiments to test ideas for improved use of experience based information.

#### METHODOLOGY

**PHASE ONE:** Arthur D. Little, Inc. conducted interviews of a total of over seventy AID officials. A special effort was made to meet with overseas staff during TDY visits to Washington and with foreign service staff recently assigned to headquarters. One team member was able to visit the USAID and REDSO missions in Nairobi and interview 15 resident staff. A standard set of questions was used.

Through this interview process, ADL identified 43 potential improvements in utilization. Many of these "innovations" were direct suggestions from agency personnel, as opposed to original ideas on the part of ADL, and some were already in place in parts of the agency. In November, 1982, an interim report was circulated to some 50 headquarters staff officers, who were asked to complete a form indicating the priority they would attach to the 43 findings (the list was later increased to 49). Of the 43 suggestions, 21 were identified from the voting results to be of high priority to the user community.

**PHASE TWO:** Experiments in improving utilization were conducted, based on the results of the Phase I work. Seven innovations (of the 21 "priority" items)

were selected and covered in ten experiments.

Criteria for selecting the experiments included the following:

- high rating in poll of Agency staff
- importance in the view by ADL consultants
- completion of experiment feasible within the contract period
- feasibility of experiment performance given existing AID and contractor resources

## MAJOR FINDINGS

Through the course of its study, ADL identified three types of impediments to the utilization of evaluative experience:

1. Problems with the "products" themselves--evaluations and other documents may not effectively distill information on past experience in a way that is readily usable.
2. Problems with the systems for identifying and distributing information on experience, most notably with respect to the DIS.
3. An absence of bureaucratic motivation impelling the AID staff to take account of experience or to record such experience as they may know and understand.

It thus identifies three areas with room for improvement:

- A. Improving Information Experiences
- B. Improving the Communication and Information Experience
- C. Structural Changes and Incentives

The study notes that the AID staff does make extensive use of experience based information, but that much of it is transmitted through personal contact. This tradition of oral communication would appear to be one reason that resources such as DIS are underutilized. Structural barriers exist which make more difficult the effective use of the oral tradition. These include smaller staffs, shorter tours in hardship posts, limited or non-existent overlap between succeeding officers, and increasing reliance on contractors. This oral tradition is one of the strong building blocks upon which innovations can and should be built as AID tries to better utilize its experience.

Use of the DIS system is variable and inhibited by several factors. At higher levels in the Agency, knowledge of DIS and its capability is sketchy to non-existent. In addition, logistical difficulties and the perception that a DIS search will produce large volumes of "undigested" material discourage use. Gaps in holdings of more recent documents, due to budget cuts and system modifications compound the problem.

Further room for improvement lies in AID's libraries, particularly those in missions overseas. A few AID officials overseas, evidently on their own initiative, have assembled libraries, but AID has in no sense made optimum use of its unique strength to serve as a resource center for development experience. Such libraries could be used not only by AID personnel, but also by host nationals and visiting officials of organizations such as the World Bank as well.

## MAJOR RECOMMENDATIONS

### PHASE ONE:

As mentioned above, ADL compiled a list of 49 suggested innovations for improvement in the use of experience based information. They follow (A "\*" indicates a suggestion assigned high priority in the voting process. A "#" denotes an innovation where an experiment or action was already underway within the Agency before this study began.):

#### I. IMPROVING INFORMATION ON EXPERIENCE

##### A. Process Improvements

1. Integrate management and evaluation priorities by:
  - a. scheduling fewer evaluations of greater depth and more value for decision making.(\*#)
  - b. applying greater flexibility in evaluation and timing.(\*#)
2. Increase host country involvement in evaluations.(\*#) If host country nationals are involved in evaluation, they are more likely to incorporate evaluation findings into continuing management of development programs.
3. Improve training of evaluation officers to increase quality/reliability of evaluations.
4. Develop evaluations of long-term impact (10 years or more after completion) of selected AID programs to determine how programs affect long-term development.(\*)

##### B. Improved Documents

1. Prepare syntheses of multiple Impact Evaluations.(\*). Concise statements of common findings have not been available in a short document.
2. Summarize material on projects of a particular type in the DIS data bank.(\*). Information provided in response to a request on a specified field is voluminous and poorly digested; syntheses of the type DIU produced early in its existence could increase the likelihood that project design or review staff would use findings of DIS.
3. Prepare better summaries of project evaluation reports.(\*#). Many summaries do not concisely carry out the information wanted by subsequent project designers and reviewers -- better user-oriented summaries could increase use of past evaluations.

4. Develop better abstracts of evaluations and other documents in the DIS; have them written in the field by study authors/participants.(\*). Many abstracts now do not highlight the points of greatest interest to subsequent reviewers so they would use evaluation reports.

#### C. Ratings of Evaluations

1. Include Mission comments on evaluations in reports (\*), including Mission's view of evaluation quality and utility and project replicability. Lack of Mission comments makes staff unwilling to rely on Evaluation reports because they do not have field opinions of the results.
2. Develop a professional index of the technical quality of evaluations and reliability of findings.(\*). The system PPC/E/PES is now developing to score the technical quality of evaluations is intended to be used in PPC as a diagnostic tool which will facilitate the development of improved evaluation guidance. It could be used to provide feedback on the technical quality of different evaluations or groups of evaluations.

#### D. Other Experience Documents

1. Reinstate end-of-tour reports for project manager to pass their experience on to successors(\*#) (now required of Mission Directors only).
2. Develop more case studies of successful projects from which one can draw conclusions.(\*#)
3. Expand the project completion report (PCR) to constitute a more effective evaluation of accomplishments. Centrally available documentation provides little information concerning the Mission's view of the outcome of a project.
4. Assist agency staff to write articles on significant findings reached in AID projects by arranging "ghostwriting" assistance where necessary.(#)

## II. IMPROVING THE COMMUNICATION AND DISSEMINATION OF INFORMATION ON EXPERIENCE

#### A. DIS/DIU Improvements

1. Improve user guidance and training in the use of DIS. A large proportion of the Agency, particularly those with higher rank and seniority, are unfamiliar with DIS or do not know how to use it.(\*)
2. Increase direct access to DIS by: (a) links to terminals in Bureaus/Missions (\*); (b) providing select DIS data to Missions for automated search on site (\*#). This would cut the response time for a DIS search and permit the staff member to narrow the search more quickly, eliminating unwanted materials.
3. Improve the targeting of searches in DIS so that the number of documents provided in response to a request can be reduced.(\*)

4. Develop process for tracking and verifying receipt of documents which should be in DIS. Many recent documents are missing and staff has been inadequate to follow up on missing documents.(\*)
  5. Improve document abstracts in DIS so that the user will locate documents of interest more quickly.(\*)
  6. Add on line access (through DIS) to evolving automation for Mission data bases over time. Immediately ensure that forward automation plans do not preclude such development planning improvements.
  7. Once a year provide to each USAID Mission a computer run of DIU holdings for its country.
- B. Improved Conditions for the Use of DIU
1. Reinstate DIU analysis unit to provide targeted, analyzed summaries of DIU information in response to USAID requests(\*) -- and/or
  2. Provide research assistants to summarize information on experience for AID staff(#): (a) in project preparation; (b) in project review. (This is a partial alternative to an analysis unit in DIU)
  3. Develop structured DIS request forms which would narrow a search request and reduce the amount of material demanded.(\*)
  4. Implement system for automatic searches for selected categories of projects.(\*). (a) Pre-PID; (b) PP preparation; and (c) evaluation design. Summaries of DIU materials would be provided at early stages of project development even if not requested, per early plans for DIU's operation.
  5. Require contractors to perform DIS searches prior to project design assignments.
  6. Require DIS search/literature review prior to approval of PIDs or PPs.
  7. Develop periodic user reports which show who is not using DIS. Non-users could be targeted for training in DIS use.
  8. Require that the bureau managing DIU increase its emphasis on marketing of DIS services and responsiveness to policy priorities.
- C. Other Sources of Information
1. Present evaluation findings at Mission Directors' conferences and technical workshops.(\*)
  2. Strengthen USAID field libraries.
  3. Distribute annual list of completed evaluations.(\*)
  4. Issue administrator's guidance incorporating findings from synthesis of multiple evaluations. This would focus high level attention on evaluation findings.

5. Develop a newsletter or articles in AID publications to highlight evaluation findings and lessons learned from experience.(#)
6. Make and distribute videotapes of experience information for Mission use, including: (a) Question and Answer sessions with senior staff; (b) highlights of special meetings or conferences(#); (c) presentations by noted experts(#); (d) case studies of projects
7. Provide lists of AID personnel experienced with similar projects and project designs to stimulate oral transfer of information.
8. Have each Bureau arrange selected distribution of evaluation reports to potentially interested staff (including other Bureaus).

### III. STRUCTURAL CHANGES AND INCENTIVES

1. Issue a policy statement dealing with use of development experience which establishes the parameters of AID's role and interest in the subject.
2. Strengthen broad rather than narrow topical PPC/E links to Sector Councils to integrate evaluation findings into sector strategies; i.e., require consultation by Sector Councils as opposed to PPC/E representation on them.
3. Split projects into phases within a funding structure; require evaluation and response to evaluation prior to funding subsequent phases.(#)
4. Improve mechanisms for using universities and other centers of excellence as a means of focusing and disseminating findings on past experience.(#)
5. Improve the link between evaluation and budget decisions; evaluations now have a very limited effect on decisions to increase or decrease funding for classes of projects across the Agency, even considering funding constraints.
6. Provide career incentives for publication of articles or books on AID experience by AID staff. Currently, there is little career benefit in making the effort to publish.
7. Focus budget, staffing and organization around priority programs (the population program is cited as a prime example of the effectiveness of this approach).
8. Invite host governments to sign PID, PP, and Evaluation reports to increase their exposure/commitment to AID planning and evaluation process.

9. Follow-up on the implementation of recommendations flowing out of evaluation, via audits or other means. There is no systematic agency wide follow-up on evaluation recommendations at this time.(#)
10. Make substantive training in Agency experience and history more clearly a part of the career path.
11. Increase time at post and overlap assignments to make better use of personal experience in project design and management, even if this requires a breach between FS for State and AID.
12. Assign more FSOs to evaluation positions, particularly in PPC's Studies division. This could improve Mission evaluations and use of evaluation information when the FSOs return to other assignments.

PHASE TWO:

As a result of the experiments conducted in this phase of the investigation, ADL came up with the following recommendations:

1. A two-page synthesis of multiple Impact Evaluations should be adopted.
2. Example summary and guidelines of material in the DIS data base should be used when similar summaries are needed.
3. The revised Evaluation Handbook should contain guidelines for better summaries of Project Evaluation Reports.
4. AID should instruct that abstracts be standardly prepared, and DIS should promptly enter these abstracts into the data bank.
5. AID's Training Divisions should consider the utility of case studies, and AID officers should be encouraged to write case studies.
6.
  - a. Agency should issue instructions that USAID Mission comments be incorporated in all reports of Impact and other evaluations of program and projects.
  - b. Agency should issue instructions that USAIDs incorporate a shorter version of an evaluative supplement to PIRs.
  - c. A simpler means of standardizing PCR information so that Mission comments on completion can be entered in the DIS file should be developed.
7. AID should require that host country nationals and contractors who in some way served as evaluation team members be identified in evaluation reports, along with those who participated in the review of decision making process on evaluation reports.

In Section Four of the report, "Conclusions and Recommendations", ADL summarizes its recommendations and suggestions for improvement.

**Condensation and Quality Improvement of Documents and Evaluations:** ADL encourages improvements in electronic processing of data through 1) easier access to project documents; 2) refinements of project documents; and 3) adaptation of three existing reports: PCR, PIR, and USAID comments on Impact (and other) Evaluation Reports, to make them more useful in identifying lessons learned.

**Data Dissemination and Transfer:** ADL recommends four basic measures to improve the usage of the DIS.

- a series of relatively modest steps to enhance the quality and responsiveness of the system to users.
- a comprehensive orientation and training program in use of the DIS, including all staff levels and field locations.
- move beyond direct retrieval of data stored by DIS and encourage identification and preparation of new and innovative software programs useful to Missions and host countries.
- consideration given to the of the expansion of information accessible through DIS

**Structural Improvements to Encourage Use of Experience:** ADL considers the following recommendations of highest priority for early consideration:

1. Issue a policy statement dealing with use of development experience which establishes the parameters of AID's role and interest in the subject.
2. Strengthen the links between evaluation findings and budget decisions. Successful programs which have been supported by sound evaluations should be targeted for expansion and replication.
3. Establish career incentives for AID staff to publish articles on project experience.
4. Make substantive training in Agency experience and history more clearly a part of the career path.
5. Enhance PPC/E links to sector Councils to integrate evaluation findings into sector substrategies.

**Experience Information and the Management Information Revolution:** ADL suggests that DIS be made more "user friendly," and that in the future Mission/Bureau staff should have direct access to DIS.

ANALYSIS OF THE ASSISTANCE REQUIRED BY REGIONAL BUREAUS TO UTILIZE AID'S  
"MEMORY" DATA BASE

Prepared by Romano Formichella and Melvin Mills  
February 1, 1984

The purpose of this study was to conduct an analysis of the assistance required by Regional Bureaus, who are beginning to try to utilize their new equipment, to access the AID "Memory" data base which is now accessible within the Bureaus.

The client population which can and should utilize the DIS (e.g. Project Designers, Review Teams, Evaluation) is geographically divided into two groups: Mission Staff in the field and Regional Bureau Staff in Washington. This report concentrates on the latter. This study is a part of the effort to find out why the DIS is not being used by potential clients.

METHODOLOGY

The study was conducted through direct personal interviews with selected staff in the Regional Bureaus. The selection of staff to be interviewed in order to capture an accurate picture of DIS utilization at the Regional Bureaus was based upon a review of their current organization. The selection was made so that a representative sample would be chosen to include the major categories of the DIS user community. During the interview process, certain selected people were not available and other people were contacted as it became clear that their input would contribute significantly to this project. Consequently, the number of people interviewed grew from an expected 17 to an actual 45.

Beyond the objective of validating the Project's working hypothesis that Regional Bureau staff believes there is significant value to the function of the DIS and would like to become functionally independent in its use, the interviews conducted with the Regional Bureau staff were directed toward obtaining DIS user information on specific issues:

1. Which Regional Bureau functions require utilization of the DIS.
2. How the Regional Bureau staff would like to use the DIS.
3. The current use (or non-use) of the DIS.
4. Types of support necessary to permit Regional Bureau staff to effectively use the DIS.
5. Quality, quantity and currentness of the information in the DIS data base available for use by the Regional Bureaus.

## MAJOR FINDINGS

The Project's working hypothesis was validated by the DIS user community. It was unanimously stated that an AID "Memory" is necessary to improve Project Design and that Regional Bureau staff would like to be self-sufficient in the utilization of the DIS data base.

The DIS utilization at the Regional Bureaus during the last four years has apparently decreased from a low level to a nearly insignificant one. The principal reasons given for this very low usage of DIS information are:

1. Incomplete responses to user inquiries
2. Excessive response time
3. Information not kept current
4. Abundance of non-applicable information
5. Abstracts generally not helpful; they do not furnish sufficient insight in to the document
6. Do not have necessary hardware
7. Organization of data does not permit access to necessary information
8. Unfamiliarity with information available in DIS data base
9. Insufficient training on how to use the DIS
10. Absence of reference/user manual for DIS usage
11. DIS data not consistent with other sources
12. Poor references (regarding the DIS) given by colleagues

Regional Bureaus need to (a) understand more clearly the functions in the DIS, (b) be continuously aware of the information available to them, (c) receive repetitive instruction (training and manuals) on how to access the DIS Data Base, and (e) have the necessary hardware. When these needs are met, the Regional Bureau staff will utilize the DIS and in turn provide the feedback necessary to make AID's Institutional Memory a vital tool for Project Design.

## MAJOR RECOMMENDATIONS

### I. USER-RELATED

1. Initiate an advertising program to inform Regional Bureaus of the new CDIE organization and the restructure of the DIS. This program should include an initial descriptive communication followed by a newsletter-type communication.

2. Develop and implement a formal training program for users.
3. Develop a DIS user manual to make easier the use of DIS and to remove the major reasons for non-usage.

## II. ORGANIZATIONAL

1. Assign specific staff in the DIS to act as liaisons to each Regional Bureau.
2. Establish a formal liaison to IRM to ensure compatibility of new hardware acquisitions with DIS.
3. Provide to the Regional Bureaus continuous technical support sensitive to user feedback.
4. Establish a formal discipline and methodology to ensure the collection of data necessary to meet user requirements. It is essential that the DIS harness all pertinent information within the Agency and demonstrate to the users that the DIS memory is complete, current and useful.
5. Place the responsibility of document abstracting with the users.

## III. TECHNICAL

1. Reassess the DIS system specifications to determine how well the user requirements are (can be) met with the current system facilities.
2. Evaluate other data base systems (other than MINISIS) and determine the desirability and feasibility of using them.
3. Establish a technical liaison with other data bases both inside and outside of AID.

INVESTIGATION OF POTENTIAL FOR CONTRACTING OF DEVELOPMENT INFORMATION BRANCH  
SERVICES IN OFFICE OF DEVELOPMENT INFORMATION AND UTILIZATION,  
AGENCY FOR INTERNATIONAL DEVELOPMENT

Prepared for Federal Library Committee, Library of Congress  
Prepared by King Research, Inc.  
December, 1980

This study concerns itself solely with the question of the feasibility of using contracted personnel to perform the reference services of AID's Office of Development Information and Utilization (DIU). As a result of analyses of functions performed in several units in DS, the reference services of DIU were identified as a candidate function to be contracted out. The administration of DIU responded to this proposal with concerns about the service implications of providing reference service through contract. Since this recommendation had been based largely on administrative considerations, a review of the service implications was seen as appropriate and DS administration sought an "outside view" on the possible consequences of the proposed change.

A contract was entered into with the Federal Library Committee. King Research, Inc. was selected as a subcontract to conduct the investigation and to communicate this report of its findings and recommendations to the Federal Library Committee. The task of the investigation was to identify the consequences of contracting out the reference function versus continuing with direct-hire staff. The key criterion for analyzing these consequences was to be quality of service.

#### METHODOLOGY

Information was gathered from documents, personal interviews with fifteen AID/DIU staff, telephone interviews with seven AID/W users of DIC, interview/visits with four federal libraries with experience in contracting for library service and a personal interview with a contractor for library service.

#### MAJOR FINDINGS

##### I. INTERVIEWS WITH AID/DIU PERSONNEL

###### A. Requirements for service which may be lost through contracting:

1. DIC staff need to know AID policy and program.
2. DIC staff need a historical sense of agency development.
3. AID personnel need to know DIC staff.
4. DIC staff need relationships with small, specialized information centers that contain much unpublished material.
5. DIC staff need to be able to go beyond the literal request.
6. DIC staff need to build on previous responses to queries.
7. DIC staff need to be able to provide technical assistance to mission libraries.
8. DIC staff need to be able to develop improved services.

B. Experienced difficulties with present AID/DIU contracts relevant to contracting for reference:

1. Separation of a professional function from the library will result in discontinuities of service.
2. Contractors may not be permitted access to certain kinds of information.
3. Turnover of contract staff requires extensive and frequent re-training.
4. Coordinating several small contractors requires considerable effort and involves overall system delays and inefficiencies.

C. Issues related to importance of staff continuity:

1. Corporate memory
2. On-going relationship with AID staff
3. Identification with AID interests
4. Knowledge of AID

II. INTERVIEWS WITH AID/W USERS OF DIC

1. These users averaged use of the DIC about once a month and used the full range of services.
2. Users generally felt that continuity of staff was a definite benefit.
3. Though there was some disagreement, most users judge that familiarity with the agency was important for good reference service.
4. Overall, users were supportive and favorable about DIC.

III. INTERVIEWS WITH OTHER FEDERAL LIBRARIES

A. Advantages of contracting cited by other federal libraries:

1. Very useful for one-time projects such as moving a collection or weeding out less-used or outdated materials.
2. Service delivery can be faster
3. Direct-hire personnel can concentrate on monitoring quality and quantity of output, and do not need to be concerned with the supervision of personnel performing routine tasks.
4. Contract staffing is more flexible--staff can be added or reduced as called for by demand.
5. Contracting may result in cost savings as contractor pay scales are lower than comparable federal pay scales
6. Even if contracting does not result in cost savings, budget administration is more flexible.

B. Disadvantages cited by other federal libraries:

1. Turnover of contractors and of contract personnel requires continual readjustment by the library, delays, and continual retraining of contract staff.
2. Some contractors have behaved unethically
3. Contractors do not want to sub-contract with competitive contractors, so writing a single prime contract may not be feasible.

4. Contracting is limited to functions for which workload and performance levels can be specified.
5. Direct-hire staff are required to monitor contracts.

Since no federal libraries interviewed had experience in providing reference service through contract, the consequences of such contracting must be extrapolated from related experience. If library function were placed on a continuum of complexity, reference services would fall at the high complexity end. Contracting arrangements are less feasible with more complex functions.

#### IV. INTERVIEW WITH A CONTRACTOR PROVIDING LIBRARY SERVICE

1. The contractor observed that the heavy dependence on internal AID documents and databases would make AID reference services a poor candidate for contracting.

In short, there was a general agreement among all parties interviewed that continuity of staffing was critical to success in reference in AID and that outside contracting would lack continuity of staffing.

#### MAJOR RECOMMENDATIONS

King Research recommends against contracting for reference or materials selection function in AID/DIU.

The functions that are presently contracted for in DIU--acquisition, processing and cataloging, dissemination--are appropriate for contracting. When possible, it is recommended that the contracts be handled by a single prime contractor to improve coordination of the functions.

# AID INFORMATION DOCUMENTATION MANAGEMENT SYSTEM STUDY

Prepared by Birch & Davis Associates  
February, 1980

Recognizing the problems associated with its incomplete institutional memory, AID contracted with Birch & Davis Associates Inc. (B&D) to assist DS/DIU in becoming more effective in acquiring the information which should become part of the institutional memory. The study therefore focuses on recommending a new information acquisition system for DS/DIU.

## METHODOLOGY

The study was accomplished mainly through interviews with key individuals throughout AID, limited primarily to AID/W. Special efforts were made to interview with AID/W personnel with recent Mission experience, to compensate for the absence of interviews with personnel in the field.

## MAJOR FINDINGS

The DS/DIU acquisition system is neither systematic nor reliable. Because of its reliance on informal methods, significant gaps in acquisition occur, but without a consistent pattern for which compensating mechanisms might be developed.

The ability of DS/DIU to successfully carry out the responsibility for maintaining the AID institutional memory is affected by:

- the perception of senior management and other personnel that the institutional memory is a necessary and useful resource
- the amount of information and the rate at which it is generated
- the cooperation of Agency personnel and the existence of a well-defined and ongoing information acquisition program
- the scope of information collected

Through its interviews, B&D found a remarkable lack of appreciation among AID/W personnel of the value of information and of an institutional memory. In addition, DS/DIU, it was discovered has an indistinct image throughout AID. Many of the people interviewed were unclear on the functions and services of DIU, and a few were even unaware of its existence.

## MAJOR RECOMMENDATIONS

In attempting to identify an improved acquisition system, the B&D team focused its consideration on two diametrically different possibilities: an active acquisition strategy and a passive one.

In an active acquisition strategy, DS/DIU would mount a sustained initiative to identify documents which should become part of the institutional memory and to take positive steps to acquire these documents.

Responsibility for making the system work would rest almost entirely on DS/DIU, not on the potential contributors of documents. The B&D team concluded that this strategy would require a substantial increase in the resources committed by DS/DIU to acquisition and also would require significant changes in existing AID administrative procedures. Because of the anticipated cost and difficulty of implementing this strategy, the active approach was rejected.

A passive strategy would place the primary responsibility for making the acquisition process work on the generators of information, not on DS/DIU. It would become an important matter of policy for all Bureaus and Offices of AID, and AID Missions, also, to ensure that all documents which should become part of the institutional memory are sent to DS/DIU. The B&D team concluded that this strategy would work only if it was driven by continuous and energetic support and enforcement from AID top management--an unrealistic expectation--and imposition of some form of sanctions on offices which did not comply--sanctions which are almost as likely to be counter-productive as effective. Therefore, this strategy in its pure form was also rejected.

Weighing the strengths and weaknesses of these two approaches, the B&D team determined that the potentially most effective strategy would be one that combines some features of both. The key features of the "mixed" strategy finally recommended to DS/DIU, several of which are expansions or reinforcements of methods already in use by DS/DIU, are:

1. An initial directive from the AID Administrator or Deputy Administrator expressing unequivocal support for the concept of an institutional memory and directing agencywide cooperation with DS/DIU in establishing and maintaining such a memory.
2. Revision of Handbook 18 and appropriate sections of Handbook 3.
3. DS/DIU contact with all primary sources of information throughout AID to ensure their understanding of DS/DIU's role, responsibilities, and needs, soliciting their ongoing cooperation in providing information to DS/DIU, and promoting vigorously the value of information and of an institutional memory.
4. Inclusion of specific requirements for submission of all project documents in the Schedule, not the General Provisions, of all future AID contracts and documents.

The B&D team concluded that this strategy could be implemented successfully by DS/DIU within its existing resources and would not create undue strains elsewhere in AID. It could be effective over the long run without repeated expressions of top management support and active involvement. B&D thus recommends the "mixed" strategy rather than either of the principal alternatives.

Birch and Davis Associates stresses throughout the report that the success of this or any acquisition system will vary directly with the level of voluntary cooperation achieved throughout the Agency, based on a deep-seated appreciation of the value of information to the development process.

AGENCY FOR INTERNATIONAL DEVELOPMENT:  
A MANAGEMENT APPRAISAL OF THE OFFICE OF DEVELOPMENT INFORMATION AND  
UTILIZATION

Prepared by Cresap, McCormick and Paget, Inc.  
January 11, 1980

The primary objectives of the management appraisal were to:

- Appraise key aspects of the DIU's operation, organization, resources, workload and relationship with and services provided to the Bureau for Development Support, the Agency, and external entities.
- Analyze the DIU's operation and organization to identify major opportunities for improvement in its approaches to performing its work, in achieving greater integration of its activities, and in performing information services tasks.
- Develop recommendations to improve the effectiveness of DIU services and the cost efficiency of DIU operations.

METHODOLOGY

Key AID and DIU management personnel were interviewed to provide an information base. Subsequent interviews were held with DIU management and professional personnel, DIU users in AID headquarters, and representatives of AID units that support DIU activities and DIU contractor personnel.

DIU monthly reports, procedure manuals, budget submissions, reports of previous studies, evaluations of office programs, publications, abstracts, key-word indexes and computer system documentation were collected and examined.

MAJOR FINDINGS

Mission and role:

The DIU lacks a clearly defined statement of its mission. This lack of definition has had a negative impact on the DIU's performance, in that:

- The lack of clear perception by DIU staff of their mission and role has led to self-definitions of individual unit missions and roles that are frequently in conflict.
- The DIU is unable to communicate its missions to users effectively so as to make them aware of its information services role.
- The lack of definition restricts the DIU's ability to develop and implement a focused strategy for information services.

The component of the DIU's role as the "institutional memory" is clearly defined and appropriate. The DIU is the logical point for the receipt of project documentation and research and development reports produced or funded by AID.

#### Organization:

The DIU's organization structure is unnecessarily complex, and the functions of certain units overlap. The responsibilities of the individual units have not been clearly defined.

#### Management:

The DIU has not defined appropriate performance measures for assessing the success of the services it provides. Moreover, the effectiveness of the DIU's range of information services is somewhat restricted by the lack of full understanding of the information needs of DIU users and the extent of the user population.

#### Information acquisition:

The DIU's entire range of information services is limited by its inability to ensure that it receives AID project and research and development reports. Submission of such reports is required by AID Handbook 18, but DIU does not have the authority to force their submission by AID missions, bureaus and offices.

The DIU has no formal acquisition policy of procedures and current acquisition activities involving AID project and research and development materials are primarily based on informal personal arrangements.

#### Information processing:

The project abstracting process is not sufficiently controlled by the DIU.

There are significant weaknesses in the maintenance of the AID Research and Development Abstracts System (RANDD) and the Development Information System (DIS) data bases:

- The RANDD data base suffers from the DIU's inability to acquire all research and development reports.
- The delays encountered in updating RANDD further detract from the utility of the system and force the DIU to maintain manual records.
- The procedures for updating the DIS are cumbersome and inefficient, in that data can be entered into the system only in batch mode, and there is no verification of data at the time of data entry. In addition, errors in data entered are determined only after the DIS has been updated and after a sight verification is done; meanwhile the incorrect files are accessible to DIS users. Also, correction of errors requires rekeying of data rather than correction of incorrect words.

On the other hand, the ADDS data base provides the DIU and AID with a useful and relatively current register of organizations and individuals interested in receiving development information.

#### Information dissemination:

DIU users have expressed general satisfaction with the professionalism and service orientation of the DIU reference specialists in providing on-demand reference services. However, the effectiveness of the DIU reference services is hampered by a number of difficulties:

- The DIU has not established uniform and comprehensive procedures for handling reference requests.
- The on-the-job training to DIU staff handling reference services is inadequate to prepare them fully for effective performance on their jobs.
- Data base problems and cataloging gaps inhibit the reference staff in providing services.

#### MAJOR RECOMMENDATIONS

DIU and AID management should develop and implement a comprehensive program to improve the DIU's organization, management practices, and delivery of information services to AID and the development community. In doing so, they should:

1. Clearly define the DIU's mission and role for information services. The DIU should solicit continuing top-level assistance in the Agency to support its mission and activities. The DIU should develop a strategic plan based on its mission and role.
2. Reorganize the DIU to facilitate management control, consolidate units with similar function, and enhance operating efficiency. The DIU should be reorganized into six units, involving a Director's Office, a Reference Services Division (with a Rosslyn Center, a New State Center, and an Acquisition and Processing Branch), and a Utilization Division. This reorganization would delineate management and operating roles and responsibilities, consolidate units with similar functions and reduce fragmentation of staff activities, and establish an appropriate span of control for DIU management personnel and a clear chain of command.
3. Establish and implement effective acquisition policies to ensure that DIU's information sources are current, comprehensive and accurate. The DIU should solicit top-management attention to the necessity for AID units and contractors to submit project records and research and development reports. It should verify the completeness of its project and research and development records and establish information acquisition procedures.
4. Adopt a more formal approach to the identification of user needs, the enhancement of user knowledge of DIU services, and the regular

provision of "awareness" documents. The DIU should establish strict quality control and monitoring procedures for the abstract development process. It should also establish standards for document processing. As a long-term objective, the DIU should adopt a common key-word system for AID project and research and development materials. This would facilitate access for DIU staff and other potential users of the DIS and RANDD systems. When these recommendations have been implemented, the DIU should pursue the opportunities for increased use of computer facilities.

5. Establish uniform and comprehensive procedures for handling reference services. Reference staff knowledge of the resources available to them should be strengthened. The DIU should continue to use external data bases as a method of expanding DIU information resources and services.
6. Define and document operating procedures for the DIU's manual and automatic functions.

The implementation of these recommendations is intended to improve the quality of services significantly and provide the framework for subsequent cost reduction opportunities.

# UTILIZATION OF TECHNICAL INFORMATION FOR DEVELOPMENT: OPPORTUNITIES AND APPROACHES

Prepared by H. C. Ladenheim  
November, 1979

During the summer of 1979, the Office of Development Utilization and Information (DIU) of the Development Support Bureau (DSB) contracted for a study to determine whether the Utilization Division was meeting the technical information needs of the AID overseas missions; and whether procedures and strategy should be changed in the future, and if so, how.

## METHODOLOGY

The study was carried out in Washington, D.C., in five missions in Africa and in two missions in Latin America. Interviews were held with program and technical offices, both in Washington and overseas. Overseas, interviews were with AID, Peace Corps, U.S. International Communication Agency and private voluntary organization personnel, and host government officials and other local users of technical information.

## MAJOR FINDINGS

### What is working:

1. The AID Document Distribution System (ADDS), providing effective delivery to the field of AID-generated technical information
2. AID Research and Development Abstracts (ARDA). Widely known and effectively delivered.
3. AID Resources Report, providing early information on results of research and on technical assistance available for field use. Widely used and recognized.

During his interviews with field personnel, Ladenheim was able to discern many of the perceptions of these people regarding their needs for technical information. Repeated most often were:

- Don't swamp us with materials.
- Send us information packages tailored to our specific needs.
- We need a single place of which to ask our questions.
- We need answers fast.
- We need to have our own staff trained.

## MAJOR RECOMMENDATIONS

### SUGGESTIONS FOR IMPROVEMENTS IN EXISTING ACTIVITIES:

## Aid Resources Report:

This is a valuable tool which needs to be given continuing attention and nurturing. Suggestions for further improvement:

1. List of contents on first page
2. Special reports several times a year on a single topic of priority interest to the Agency.
3. Yearly index.
4. Yearly issuance of French and Spanish language editions of the Resources Report for countries where those languages dominate. The most popular articles of the past 18 months should be translated and put into these editions.
5. Broaden the mailing list to include:
  - a. other foreign aid donors
  - b. planning organizations in LDCs.
  - c. research organizations in LDCs.
  - d. PASA, IQC, and other AID contractors involved in project design or implementation.
  - e. all technicians serving in Washington and overseas
  - f. Peace Corps and private voluntary organizations
6. Program to obtain details and documentation from the field about those projects which have worked well and are worthy of broad dissemination to the development community.

## ADD and ARDA:

DIU should examine the problem of the inability of most missions and many LDC institutions to store and recover technical information, due to shortages of staff and facilities and guide recipients in overcoming their data management problems.

## SUGGESTIONS FOR NEW ACTIVITIES:

### Response System:

A central response point should be established to provide speedy service on field and Washington requests for technical information and materials and to supply information on past agency and other donor experience. The establishment of such center a should clearly be the highest priority of all DS/DIU actions.

Essential elements for such a response point are:

1. commitment to service
2. technical capacity to locate information requested
3. capacity to assure that the response is appropriate

4. resources to assure that response is timely and dependable
5. sensitivity to users' environments and needs
6. a single point of responsibility for providing service

#### Field Visits:

The DIU should, with the cooperation of the regional bureaus, arrange for annual consultative visits to each U.S.AID mission in the field and to major offices in each geographic bureau in Washington, D.C. These visits would be an opportunity to establish two-way communications that will assure that the strategies and mechanisms developed by DIU continue to be relevant to the field and that the users are fully aware of the resources available.

#### Training:

The addition of a unit concentrating on technical information sources, services available, means of access, delivery systems and how to use them should be made part of the major training activities of AID's Training and Development division. This training unit should be made available to PASA, contract and private voluntary organization personnel as well as to AID direct-hire staff, both in Washington and the field.

#### Interest Profile:

The Current Awareness Literature Service (CALs) of the U.S. Department of Agriculture, with its capacity to provide on a regular basis abstracts of literature fitting the interest profile of researchers, planners, and project implementers, would be of great interest to a select audience in the LDCs. DIU should prepare an appropriate announcement describing the details of CALs and should urge AID missions to offer the service to appropriate institutions and individuals in their countries. A guide appropriate for LDC use should accompany the announcement.

#### Intermediaries and contractors:

A system should be established which would make certain that intermediaries and contracted workers hired by AID are aware of, and have access to, the great body of technical information generated by the AID research program and the data banks supported by or available to AID.

#### Cross-fertilization:

DIU should take the initiative in searching out successful field projects and make AID missions worldwide aware of the techniques contributing to a successful activity. This can be done by means of the publications at DIU's disposal, and through additional mechanisms such as the Media Extension Education and Training Service (MEETS) of AID's Office of Personnel and Training.

## LONG TERM RECOMMENDATIONS:

1. DIU should continue to develop close working relationships with the geographic bureaus, to maintain continuing insight into current regional program priorities and issues.
2. PPC guidance to the missions for the preparation of the CDS should be reviewed annually for clues to possible future interests and priorities of AID missions.
3. DIU should explore the availability of technical and managerial information available from non-AID sources.
4. The long-range knowledge synthesis project (a project to increase utilization of appropriate knowledge or technology in development programs) should be accelerated. All missions queried indicated a desire to receive this type of material for priority issues.
5. DIU should explore the possibility of taking the lead in producing a compendium of all donor resources for development. While it may turn out that it would not be practical, the effort should be made, since the exploratory process would increase AID's knowledge of the quality and source of information outside the United States.
6. DIU should develop a mechanism for responding to the opportunities to strengthen LDC institutions in their desire to improve storage, retrieval and dissemination capacity.

REPORT ON AID PROCEDURES FOR RESPONDING TO SELECTED  
PUBLIC INFORMATION REQUESTS

Prepared by Birch & Davis Associates  
June, 1979

Every year, AID receives well over 50,000 written requests and a large, uncounted number of telephone requests for information from the public. A large percentage of these requests is addressed to a specific and appropriate AID bureau or office; these apparently are handled promptly by the office to which they are addressed. Other requests clearly reference the Free of Information Act (FOIA), the Privacy Act, or EP 11652 (concerning declassification), or concern matters for which the Office of the Executive Secretary (AID/ES) or the Office of Legislative Affairs (AID/LEG) has formal responsibility; these inquiries, too, normally receive prompt attention.

However, 10,000 to 15,000 written requests and a large number of telephone requests are not directed to a specific bureau or office or are inappropriately directed. The subject of concern in this report is these requests, and the manner in which they are handled.

These requests are difficult to handle for a number of reasons:

- The complexity of AID's mission precludes the easy assignment of responsibility for classes of requests along geographic, scientific, technical, or any other obvious lines.
- The sheer volume of AID documents and records compounds the problem of locating and accessing the information necessary to respond to the request.
- The absence of a single indexing system that identifies and classifies all AID documents and publications makes it difficult to identify publications that might be useful in making the response.
- The requests vary considerably with respect to the amount of information requested, the level of detail required, the topic, the urgency and importance, and the clarity of the question.
- Even when referrals are made to the appropriate office, this does not ensure prompt and considerate response.
- The absence of clear Agency guidance delineating responsibility for responding to the public and providing adequate staff for doing so has precluded the establishment of a formal response system.

As a result of these problems, incoming requests or outgoing replies are not monitored, the nature of requests cannot be determined, and the quality and timeliness of responses cannot be assured. Wasteful duplication of effort, frustration, and inter-office conflict result. These problems are experienced throughout AID, but are felt most acutely by the Office of Public Affairs and the Bureau for Development Support, Office of Development Information and Utilization. Although neither office is clearly charged with processing general public inquiries, both are widely perceived by other

Agency staff as having the major responsibility for performing this service.

Public relations is a matter of special importance to AID, and information requests from the general public present one opportunity for AID to serve the taxpayers. Since AID seems to be doing a less than adequate job of serving the public in this manner, it engaged the services of Birch & Davis Associates, Inc. (B&D) to analyze the Public Information activity and make recommendations for improvement.

#### METHODOLOGY

Detailed analysis of the current situation in AID, as well as personal interviews with 60 AID personnel most directly involved in responding to public inquiries, were performed.

In addition, as one means of identifying alternatives to the present AID approach, interviews were conducted in four other federal agencies to determine how public inquiries are handled there. The agencies are:

- Department of Commerce
- Department of Agriculture
- International Communication Agency
- Department of State

#### MAJOR FINDINGS

AID's system for responding to public information requests is inadequate, except for the tight management and controls exercised by ES for those requests addressed to the Administrator and the Deputy Administrator, and those addressed to LEG by members of Congress.

Those offices involved in responding to information requests are:

1. OPA, which has "official" responsibility for handling requests from the public, but lacks the resources for doing so.
2. The Development Information Centers, the largest single repository of information, therefore called upon to respond to many requests.
3. The Office of the Executive Secretary and the Office of Legislative Affairs which have well-defined areas of responsibility and highly formalized systems for controlling certain types of requests.
4. The SER/MO Mail Room which plays an important role in routing many requests from the public which are inadequately addressed.
5. The publications and audio/visual arts division, responsible for managing the printing process for agency documents.

The response system is further complicated by:

- the absence of a document inventory system, which makes it difficult

to locate sources of information. Consequently requests are re-routed inappropriately and delays often occur.

-- inconsistencies in the way various requests are handled.

### MAJOR RECOMMENDATIONS

Although the situation is highly complex and not amenable to an easy solution, striking improvements can be made by implementing one of the three alternatives for handling written requests listed below, by establishing a telephone inquiries service and by developing an inventory of available AID publications to assist the office(s) in locating the appropriate source of information requested by the public.

The alternatives for improving the handling of written requests are:

#### (1) ALTERNATIVE A: MAXIMUM CENTRALIZATION

Under Alternative A, all incoming mail not addressed to a specific, identifiable AID bureau or office would be received and opened in OPA/PI, rather than in the SER/MO Mail Room as is now the case. As requests come to its attention, OPA/PI would be responsible for:

- preparing the responses to most requests, making infrequent referrals to other offices and bureaus
- controlling the action on all requests to assure a timely and adequate response

Alternative A would provide the greatest degree of centralization and control and, consequently, the greatest certainty of providing adequate, timely responses. It also has these important advantages:

1. OPA is currently viewed throughout AID as having the responsibility for answering public inquiries. Thus the transition, with adequate staffing, would be relatively easy.
2. The response burden on other offices and bureaus would be kept to an absolute minimum. This means that on the less frequent occasions when a referral is required, other offices and bureaus would be more likely to be responsive.
3. As the office responsible for overall public relations, it is helpful if OPA has a means of assessing changing public attitudes and concerns. Centralized responsibility would put OPA in contact with more requests, and more in a position to assess these public concerns.
4. Considerable concern has been expressed about how differently FOIA and non-FOIA requests are processed. Under this alternative, non-FOIA requests would be handled by the same staff that processes FOIA requests, thus reducing the current disparity in treatment.
5. When requests are originally addressed to a geographic or technical

bureau which does not wish to or cannot respond, the requestor will receive better service than is now the case, because the request can be legitimately referred to OPA for action.

6. The economies of scale and efficiency of this alternative are the greatest.
7. This alternative resolves the current ambiguity between the roles of OPA and DS/DIU.

These advantages must be weighed against the disadvantages of Alternative A, which include:

1. The existing OPA/PI Reading Room (required by the FOIA) contains only modest holdings, so considerable effort would be involved to develop the required inventory.
2. Considerable training of new staff is required.
3. Because non-FOIA requests would be handled in the same office as FOIA requests, staff may experience some conflict in priorities between FOIA requests (with their legally binding due dates) and non-FOIA requests. Unless spheres of responsibility are clearly defined, the non-FOIA staff may be pressured to attend to FOIA requests, to the detriment of other public inquiries.
4. Some of the mail opened by OPA would not contain requests and would, therefore, experience a delay in proper routing.

Four staff, two at the GS-7 and two at the GS-9 level, would be required to implement this alternative; this includes the one staff person who will operate the telephone inquiries service.

## (2) ALTERNATIVE B: PARTIAL CENTRALIZATION

Under Alternative B, all incoming mail not addressed to a specific, identifiable AID bureau or office would be opened, as at present, in the SER/MO Mail Room. Letters so opened would be forwarded directly to OPA if they contained a request for information, unless a referral could be made to another office with certainty that it can be answered easily by that other office. The Office of the Director, OPA would then be responsible for:

- preparing responses, if the limited material on hand in OPA is adequate, or referring the request to the office or bureau with jurisdiction over the information required for the response.
- controlling the action on all requests to assure a timely and adequate response.

The primary advantage of Alternative B is that it would rely on existing patterns of record keeping thus not duplicating inventories and other files and documents already held and controlled by other offices and bureaus. OPA would still be privy to the nature of public interest in the agency, but the responses would be prepared by the office or bureau most knowledgeable about the subject.

These strengths are offset by several drawbacks of this alternative:

1. The control responsibility would be separated from the response preparation responsibility. This would increase the difficulty of managing the response effort and, consequently, reduce the likelihood of success.
2. The burden of responding would fall heavily but not entirely on the geographic and technical offices, a responsibility they are often unable or unwilling to assume.
3. It is sometimes difficult to determine precisely which office has "primary" control over the subject information and this may lead to disagreement about roles.

Three staff would be needed to implement this alternative: one GS-9 in the DS/DIU library and two GS-7s in OPA (this includes the staff necessary to operate the telephone inquiries service).

### (3) ALTERNATIVE C: MAXIMUM DECENTRALIZATION

Basically, Alternative C would formalize the existing situation by lodging responsibility for all requests in the office which first receives the request. Mail would be routed from the SER/MO Mail Room as it is now. Each bureau and office would establish a central correspondence control point which would:

- route requests within and outside the office or bureau for response
- control all requests until action is taken. This means that the correspondence control point in one office might have control authority over a response that is being prepared by another office.

The most compelling advantage of Alternative C is that it builds upon the existing situation. There would be no duplication of documents or files and responses would often be prepared by the office or bureau that is the authority on the subject.

There are three major disadvantages to this alternative:

1. The system's operation hinges on the personal responsibility of more than a dozen individuals who each work in a separate office or bureau and report to a different supervisor. Without the continuous and enthusiastic support of top management in each office or bureau, this alternative could easily deteriorate into a replica of the system now in operation.
2. Individuals throughout the Agency would be preparing responses without benefit of information about prior responses and without an accumulation of experience in searching for documents and making contacts throughout the Agency. Thus, although visible direct labor requirements of this alternative are less than in the other two choices, the actual staff time required to prepare and control responses may be greater.

3. There is a high possibility that an inordinate number of requests will continue to "default" to OPA or to the DS/DIU library for response, despite the ostensible change in the lines of responsibility. If this occurs, the situation will be improved only slightly from the current one--to the extent that the telephone service is effective.

This alternative would require the addition of one GS-9 librarian in the DS/DIU library to prepare the large number of responses that would be expected to be referred there for action. One GS-7 would also be required at OPA to operate the telephone inquiries service.

Alternative A is recommended as the option with the highest probability of success. If Alternative A is rejected because of limited resources, then B&D recommends that Alternative B be accepted. It is a reasonable compromise, and, over time, the sphere of responsibility for OPA can be increased (towards an approximation of Alternative A) if desired.

During the interim period while AID management select and implement a preferred alternative, B&D recommends that several steps be taken to alleviate the current situation. First, work should begin on the Document Inventory List, without which none of the alternatives can proceed. The OPA Research Librarian can take a lead role in developing the list but should not be expected to develop the list without help. Thus, temporary duty staff will be required for about one month to establish the baseline list and the procedures for updating the information.

Second, the telephone inquiries should be established along the lines described in alternative C. Under this alternative, the service would simply answer and route calls, not prepare a preponderance of responses. If Alternative C is eventually implemented, no modifications will be necessary. If either of the other two alternatives is selected, the telephone inquiries service can be building on this initial foundation.

Third, the existence of the new telephone inquiries service and its immediate scope of responsibility should be widely publicized via general memoranda to AID staff and to the Centrex operators who service the various AID buildings.

Regardless of the approach taken to responding to written requests, B&D concludes that a central telephone inquiries service is required to give direction to the many callers requesting information. In all three alternatives, this service would be located in OPA.

Telephone calls received by OPA may be handled in a number of ways. In all cases, the objective of the telephone inquiries service is to minimize caller frustration and expense. The desires of the caller would determine which course of action is to be pursued.

In summary, B&D believes that there are several strategies available to AID for improving the manner in which the public information activity is performed. Some of these are generic, applying equally to all three suggested alternatives. They include:

1. A centralized telephone inquiries service which should be established in OPA to receive and route calls from the public.
2. Improvement of the AID telephone directory to highlight the existence of the telephone inquiries service; a functional directory should also be included to help the public find the offices most commonly desired.
3. Forwarding of all mail that is received in AID with a complete, valid address to the addressee without intervention by OPA or the SER/MO Mail Room.
4. A strong degree of control, regardless of the office from which it is exercised.
5. Development and maintenance of an inventory of available AID publications (i.e. the Document Inventory List).
6. Adding OPA and DIC to the list of offices that routinely review the order requests to publish new AID documents.
7. Addition of adequately trained and skilled staff, whose new responsibilities should be clearly spelled out.
8. Regardless of the alternative selected, all offices and bureaus in AID should be made aware of the new procedures and of their continued involvement in assuring that the new procedures operate effectively.
9. No changing of the procedures for processing certain categories of requests. These requests should not fall within the jurisdiction of the office(s) which assumes responsibility under one of the alternative solutions. Specifically, requests traditionally handled by PM, CM, STATE, ES, LEG, or the OPA/PI staff, as well as those from LDC, PVO, AID/W or mission staff should not be included.

AGENCY FOR INTERNATIONAL DEVELOPMENT NEEDS TO STRENGTHEN ITS MANAGEMENT OF  
STUDY, RESEARCH, AND EVALUATION ACTIVITIES

Report by The Comptroller General of the United States  
February 12, 1979

This report was made at the request of the Chairman, Subcommittee on Foreign Operations, Senate Committee on Appropriations. AID had provided the Subcommittee with a listing of such contracts and grants for which there were obligations in fiscal year 1977. The Subcommittee requested the Comptroller General (CG) to obtain comparable amounts for FY 1978 and 1979. For selected cases, CG was also requested to examine the need, for and the quality, use and dissemination of, the end products of studies, research and evaluation.

METHODOLOGY

The CG examined files for selected contracts and grants and had discussions with AID officials in Washington, D.C. and AID missions in the Philippines, Thailand, Pakistan, Jordan, Kenya, Senegal, Chile, Jamaica, and Guatemala.

MAJOR FINDINGS

On the cover of the report is stated:

"AID needs better information on the amount it spends for studies, research, and evaluations. AID needs to strengthen its management control over these activities because it does not

--give adequate consideration to information already available before contracting for more studies and research,

--assure itself that it has received the product which it contracted to buy, and

--disseminate this information effectively to others."

This declaration sets the tone for the report. CG attributes the above listed policy omissions to several weaknesses in AID management procedures and practices for justifying, coordinating, monitoring and utilizing studies, research, and evaluations.

Information obtained during the review reemphasized the need for AID to improve its management controls in determining need, assuring quality through meaningful evaluation, and making effective use of studies, research, and evaluation.

AID cannot readily determine the full amount it spends for studies, research, and evaluations, nor can it readily determine amounts spent on research for specific development areas through its present reporting systems.

In addition, CG found that AID has no formal system for coordinating agencywide study, research, and evaluation activities and in, CG's opinion, it has no assurance that it is not buying information that is already in the U.S. Government inventory. Nor has it an effective system for collecting and disseminating information generated in the process of its own development assistance efforts. Furthermore, AID does not systematically disseminate this information to data sources that could be used by other donor organizations.

## MAJOR RECOMMENDATIONS

AID should have better information on how much research it is supporting to judge whether this is proportionate to the size of the total program. Such information would also allow AID to review and assess the distribution of its overall research by activity to assure proper balance. Accordingly, it is recommended that the AID Administrator require that AID's management information system identify, study, research, and evaluation efforts by functional assistance areas.

AID procedures do not require that managers requesting information through contracts and grants for studies and research first determine the extent of information already available and then analyze it to assure themselves that their new information needs could not be satisfied with study and research already completed and paid for. AID should analyze information already available before awarding contracts for information about the same general subjects.

AID needs a more effective system for determining and using the extensive study and research previously done by AID and others, and needs to take full advantage of study and research existing outside of AID. Also, there is limited communication and coordination between the AID central and regional bureaus even though they are often involved in study and research in the same functional development areas. To avoid purchasing information that may be already available and to expand the use of research findings for a greater impact on current programs, it is recommended that the AID Administrator:

- require officers responsible for requesting information through contracts or grants for study and research to certify that specifically identified information data banks, both within and outside of AID, have been screened and that available information will not satisfy the requirements for which contracts or grants are authorized; and
- expand coordination and information exchange within AID and with other Federal agencies and donors.

Effective investment of public funds in studies and research depends largely on the quality and use of the information purchased. AID needs to exercise a greater degree of surveillance over contractor performance to assure itself that the information purchased could be used in the form provided. To this end, AID should monitor and review all studies, research, and evaluations performed by contractors to assure that their products are usable and of high quality. It is thus recommended that the AID Administrator take action to assure (1) appropriate surveillance over

contractor activities and (2) proper completion and use of contractor performance evaluations reports.

AID system for collecting and disseminating the results of its studies and research needs to be improved. A systematic method for collecting and disseminating research information would have a greater impact on AID programs. Disseminating information to such data banks as SSIE and NTIS could bring the results of AID study and research efforts to other donors and further expand its use. To achieve this goal, it is recommended that the AID Administrator require that appropriate information on AID-funded studies and research be sent to SSIE and NTIS.

## AID REFERENCE CENTER AND INSTITUTIONAL MEMORY

Prepared by The Auditor General, AID  
November 30, 1977

The AID Reference Center (ARC), located in the main State Department Building, with a full time staff of seven, acts as the central reference facility for AID-generated project documents. Complete project information files are needed at the ARC.

In order to assure that the ARC and other information sources are adequate to prevent inadvertent duplications of effort, the Auditor General examined selected AID-financed feasibility studies in different countries.

### METHODOLOGY

The audit was conducted intermittently during the period May through September 1977. It included visits to the AID Regional Office for Latin America and Panama in Guatemala, and the Regional Economic Development Services Office, East Africa, as well as the following AID missions: Egypt, Jordan, Syria, Haiti, Kenya, Liberia, Indonesia, and the Philippines.

The AID Reference Center in Washington was also visited, and auditors met with Office of Development Information officials. The comments of the officials of the Bureau for Program and Policy Coordination were taken into consideration in the preparation of the report.

### MAJOR FINDINGS

ARC does not contain documentation on all AID projects and overseas Mission libraries are not consistent in purpose or in the types of documents they maintain. Possibilities for inadvertent duplication of AID studies exist.

The purpose and content of AID Mission libraries vary greatly from Mission to Mission. These expensive facilities serve as Mission "memories" and their operations should be made as efficient and economical as possible.

ARC files are missing significant amount of information, and it seems fairly certain that the majority of the missing information is lost forever, because there is no practical means of identifying and locating it.

According to the Office of Development Information, files at the ARC are incomplete for two major reasons:

1. AID was in existence for years before the Reference Center was established.
2. The various bureaus, Missions contractors and others do not submit required documentation on all projects and activities to the Reference Center.

## MAJOR RECOMMENDATIONS

1. The Office of Development Information inform appropriate operating offices of the need to see that all required project information is submitted to the AID Reference Center, and institute follow-up procedures to assure that needed reports are received by the AID Reference Center.
2. The Office of Development Information provide guidelines for the use of Mission libraries.

## ESTABLISHING A DEVELOPMENT INFORMATION SERVICE (DIS)

Prepared by Practical Concepts  
August 8, 1975

Practical Concepts, Inc. (PCI) submitted this report to the Ide Committee (The AID Library and Information Retrieval Task Force), as a presentation of its analysis and recommendations resulting from its support to that committee. The task at hand appears to have been to design an information analysis center to provide information for AID project designers, given that needed information was not being provided them despite the fact that AID was spending \$2,000,000 per year on information services.

PCI recommends that AID establish a Development Information Service (DIS) to "provide the information needed by Project Designers and integrate existing information activities." This report outlines the details of establishing, implementing, and managing such a system.

Though PCI prepared and submitted the report, it evidently worked in tandem with the Ide Committee, for recommendations are often credited to "the Committee."

No methodology was outlined, beyond the mention of discussions within the Committee.

Findings, as such, are not included in the report. All information is given in the form of recommendations, below.

### MAJOR RECOMMENDATIONS

The DIS, an information analysis center, should be established per the following definition of the term:

"An information analysis center is a formally structured, organizational unit specifically (but not exclusively) established for the purpose of acquiring, selecting, storing, retrieving, evaluating, analyzing, and synthesizing a body of information in a clearly defined, specialized field or pertaining to a specified mission with the intent of compiling, digesting, repackaging, or otherwise organizing and presenting pertinent information in a form most authoritative, timely and useful to a society of peers and management."

Some important aspects of the proposed DIS include:

- \* By taking advantage of related efforts in automation--particularly the PBAR initiatives to establish the AID MIS--DIS can have automated capability relatively quickly and at a relatively low cost.
- \* It is feasible that DIS provide direct user service at the USAIDs, through use of interactive remote access consoles.
- \* The USAIDs have indicated enthusiasm for the DIS concept and

skepticism as to whether Washington will in fact live up to the DIS promise.

- \* DIS capacity and capability can be developed in evolutionary manner--one small step at a time to achieve immediate but modest levels of capability without compromising the long-term potential.

Key concepts surrounding the establishment of a DIS are outlined below:

- Information needs of USAID project designers should be given the highest priority
- Information needs can be characterized by three categories, with priority given to the first category:
  - (1) Experience information (not necessarily restricted to AID's experience)
  - (2) Technical data
  - (3) Context data describing social, anthropological, economic and political variables bearing on LDC problems and programs.
- AID must aggressively outreach to obtain information regarding all three types of information.
- Information activities should be integrated with AID's evaluation system and studies and with PBAR initiatives to establish a "country program data bank" and a "performance tracking system."

Salient characteristics of the DIS:

- decision-driven information
- analytic, not descriptive, information
- access to, not physical possession of, data.
- orientation toward information users, rather than information sources (DIS' mission being to determine what information project designers need and get it for them in the form they need it and when they need it.)
- conventional and unconventional storage and indexing techniques
- maintenance of a comprehensive file of "AID-unique" data concentrating on current information
- emphasis on retention of evaluation data, and of the dissenting points of view presented in pre-project documentation.

This report includes detailed information on the requirements of the DIS, including specifications, functions, organization, implementation, management, and costs, along with a time frame for accomplishing all of the above. The recommendations, which include these factors, are summarized below.

#### Summary of recommendations:

- DIS should be immediately established as a service bureau within AID.
- DIS implementation should adhere to the following:

- Immediately (30 days after start-up) DIS provides information, based on ARC and other AID collections, to USAID project designers regarding a frequently encountered class of project;
  - DIS provides representative "in-depth" analyses within 3 months after start-up;
  - DIS operational capability established, and the operational system fully defined, at the end of 6 months;
  - Batch processing capability be established 9 months after start-up;
  - If full-scale automation is chosen, provide real-time remote access capability (video only) at selected locations within 12 months;
  - Within 18 months real-time remote access, including hard copy print-out, available in the selected USAIDs;
  - DIS be jointly staffed by AID and contractor personnel.
- ARC and all of its related functions and budget should be put within DIS.
  - PPC or PBAR should appoint the technical monitor for the contract to operate DIS.
  - A DIS Board of Directors should be formed, consisting of representatives from PPC, PBAR, TAB, management services, and the contractor chosen to initiate DIS implementation.
  - The "Ide Committee" should be disbanded in favor of the Board of Directors and the PPC/PBAR monitorship, which shall supervise DIS until such time as DIS achieves full-scale operations.
  - When DIS achieves full-scale operations, the Board of Directors should select a permanent organizational home for the DIS.
  - A Director of the DIS should be chosen to serve for an 18-month term, with the clear understanding that he will step down in favor of a new Director after DIS is fully operational.

# A STUDY OF THE INFORMATION NEEDS OF THE TECHNICAL ASSISTANCE BUREAU, AGENCY FOR INTERNATIONAL DEVELOPMENT

Prepared by Elizabeth Bole Eddison  
Warner-Eddison Associates  
December, 1976

In late November, 1976, Warner-Eddison Associates, Inc. (W-E) was asked to carry out a quick survey of the information resources and needs to be found in the various offices of the Technical Assistance Bureau (TAB) of the Agency for International Development. TAB was planning a consolidating move to the Rosslyn Plaza building early in 1977, and it was thought that the results of this study might have an effect on the planning for space in that building. The imminent date of the move explains the rapidity of the study.

## METHODOLOGY

Over 30 people in various offices of TAB were interviewed. The thirty days available for the study did not allow for detailed inspection of information sources in each office, thus making interview time doubly valuable. Each office was exposed to the same questions, though these questions were used merely as conversation stimulators.

Various documents describing the Bureau's programs and projects were also scanned in the search for a broad awareness of TAB's information needs.

## MAJOR FINDINGS

A strong statement of need was made for a central collection of general development information.

The Technical Assistance Bureau does not now have a system for collecting, organizing or making accessible to its professional staff non-AID generated information. There is no general method established by which any professional in TAB can be sure that he has available to him all appropriate information when he is working on a problem. The difficulty of finding what is wanted within existing TAB information collections has led to high levels of frustration. A keen awareness was expressed of difficulties experienced in finding the specialized kinds of information needed in daily work.

Many, perhaps all, of those interviewed indicated a desire to be on top of the information of their particular subject specialties. "We need specialized kinds of information which don't seem to be within the main focus of our RSSA-connected-institutions" was heard frequently. TAB offices felt often that the kind of information they were looking for was hard for U.S.-focused institutions to find because the U.S.-oriented emphasis is not the same as that of the developing world.

Little use is made in TAB of the myriad information resources available in the greater Washington area because there is no professionally-staffed

information center available within the Bureau or the Agency which could help in locating such information. A suggestion was made by one office, and echoed in several others that all TAB offices need to have quick access to external support services in the field of information.

This survey crystallized thinking within the technical offices of TAB on these points:

- Help is needed and wanted in achieving efficient delivery of information.
- Individual offices would not need to keep within their own physical boundaries all of the information resources which are currently in those offices if a system were established to provide each specialist, each office, with information when it is needed.
- Specialists in one office want to be exposed to the information resources of other disciplines, by being able to browse through a multidisciplinary collection of journals and periodicals.
- TAB professionals are seeking the support of a strong reference collection, based on the needs of the broad fields of development and of technical assistance as well as on specific technical disciplines.

#### MAJOR RECOMMENDATIONS

W-E strongly recommends the organization of an Information Center for the Technical Assistance Bureau. Establishing an Information Center will close the circle so that TAB technical staff who manage and suggest and monitor the research and development programs whose results are recorded in ARDA will have the kind of information they need, easily available to them, while they are managing and suggesting and monitoring. The improved efficiency in management which will result from having a good information service should have a direct and positive effect on the quality of technical assistance.

The most important single element in an information center is the professional staff. The Information Center will be a clearinghouse, a conduit, a switching-station, or some judicious mixture of all three. It will not be an archival collection of every publication TAB has ever received. It will not be a storage area for material which people do not know how to handle.

The staff, professional and paraprofessional, of the Information Center will function as the basic information resource. It is they who will be backed up by a collection of highly specialized information resources which will enable the staff to find the information needed to answer that request.

An important strength of the Information Center will be the quality and variety of sources of information available there. Directories, indexes and other guides to information will be of the greatest importance. All information tools would be selected because of their appropriateness to the overall mission of supporting technical assistance to developing countries.

## FUNCTIONS OF THE INFORMATION CENTER:

- Provide information in anticipation of or in quick response to the needs of the Bureau's professional staff.
- Maintain a lean collection of current books, documents, periodicals, etc., to be used in meeting TAB's technical information requests.
- Establish cooperative relationships with other information resources within the Agency and outside the Agency.
- Act as a conduit in bringing information into the Bureau from external sources.
- Provide a control function for TAB in the purchase of external sources of information by having records of information already in existence at TAB.

## BIBLIOGRAPHIC DATA BASES:

Computers are increasingly useful tools in the world of information retrieval, but they are still far from the peak of their development. The bibliographic data bases which are now available on computers are frequently helpful in many fields, including medicine, health, agriculture, education, and science and technology. They are, however, not the only information tool and frequently not the best tool.

The Information Center should probably have its own capability for bibliographic data searching by FY 1980. This would enable on-line searching within the Information Center of the various technical bibliographic data bases.

## EXTERNAL SUPPORT SERVICES AND POSSIBILITIES OF CONTRACTING THE DEVELOPMENT OR MANAGEMENT OF THE INFORMATION CENTER:

The development of the Information Center could be handled under a contract, certainly in part. The technical services part of development: sorting out material received from the offices; ordering missing items; cataloging the material and producing some kind of records could all be handled by a contractor under the supervision of the professional staff of the Information Center.

## DISTRIBUTION OF PUBLICATIONS:

In the course of carrying out the interviews in the various TAB functional offices, it became evident that many of the offices are very involved in sending material to people who request it, either in developing countries, or in other parts of the development world. A number of people appear to be involved in distribution. It is suggested that this distribution activity be centralized in a judicious manner by bringing it into the managerial field of the Information Cluster which is already deeply involved in the AID Documents Distribution System (ADDS).

WORKING PAPER B

**INFORMATION RESOURCES USED IN AID'S  
PROJECT PLANNING PROCESS  
FINDINGS AND CONCLUSIONS**

**Prepared For  
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**JULY 19, 1984**

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## **INFORMATION RESOURCES USED IN AID'S PROJECT PLANNING PROCESS**

### **Findings and Conclusions**

This report seeks to answer the question:

How do AID personnel use information on past project experience in planning and designing new projects?

In answering this question, we interviewed selected AID personnel with experience in the project planning and design process, and we reviewed previous reports which addressed, at least in part, the question posed above.

We present this report in three parts:

- (1) A summary of the project planning and design process.
- (2) Our findings: how AID personnel use information on past project experience projects in planning and designing new projects.
- (3) Our conclusions on the use of information on past experience.

An appendix to this report lists the persons interviewed and the reports reviewed.

### **The Project Planning and Design Process**

There are four main steps in project planning and design.

In most cases, a project idea begins with development of the Country Strategy Statement (CSS), a five-year expression of U.S. development goals and objectives for each country receiving AID developmental assistance. AID missions update the CSS annually.

A potential project first becomes a candidate for planning and design with preparation of the Annual Budget Submission (ABS) to Congress. The ABS includes a brief paragraph on each new project for which planning is about to begin.

The first project document is the Project Information Document (PID), a brief (no more than 15 pages) description of the proposed project.

Once AID approves the PID, personnel develop the Project Paper (PP), a detailed analysis of the development problems addressed, description of the project, and plan for implementation.

AID's current management policy is for the missions, except for large projects (those exceeding \$20 million), to develop and approve the PID's and the PP's. There is some variation among regional bureaus with respect to the scope of this decentralization of authority. Today, missions in the Bureau for Asia appear to have the most authority to approve projects for implementation without requiring headquarters confirmation. But since AID mission staffs are leaner than in past years, there appears to be substantial mission-headquarters interaction--supported by contractor personnel--by forming teams of professionals to plan and design a project. This is true throughout AID, including the Bureau for Asia.

The regional bureaus have formal teams to review and approve projects requiring headquarters action.

## **Findings**

**1. AID personnel mainly use information on past experience when they develop the Project Paper.** While project officers usually consult selected AID professionals with related project experience in developing the PID, they delve more broadly and deeply into information on past experience in developing the PP. The reason is mainly one of timing: many of those interviewed said that deadlines for completing the PID often prevent relying extensively on past experience more at the PID stage. Development of the PP, which can take a year or more, allows sufficient time to consult all information sources.

**2. There are many information sources for past project experience.**  
These are:

- Project documents: PP's and evaluations of previous projects.
- Technical reports: professional analyses of developmental technologies used and research on developing technologies.
- Impact assessments: in-depth examinations of completed projects in selected development sectors of interest to AID.
- Project financial information: that contained in the Program Budget Data System (PBDS).
- AID personnel: those with past experience on related projects (currently or not now on staff) and those with technical experience (who may or may not have project experience) in the project's development sector.

- Professionals with other donor organizations (such as the World Bank).
- Professionals with the host countries.
- Other technical experts: those in academic and contractor institutions supported by AID and others known to AID personnel.
- Project documents and technical reports produced by other institutions providing developmental assistance.

**3. AID personnel use many methods for tapping those information sources.**

They are:

- The Development Information System (DIS): An automated information system providing bibliographies and abstracts of project documents and technical reports (and providing access to the complete documents). The DIS is agency-wide.
- The Program Budget Data System (PBDS): an automated data system providing data from the Annual Budget Submissions (ABS) by project, appropriation, level, priority ranking, and decision package.
- Personal contacts with personnel in AID's regional and functional bureaus.
- Personal contact with AID mission personnel.
- Personal contact with professionals in other donor institutions.
- Personal contact with technical experts in academic and contractor institutions.
- AID Sector Review Committees: headquarters-convened committees in developmental sectors (e.g., agriculture, education), consisting of representatives from the regional and technical bureaus.
- Regional bureau project information systems (such as that in the Bureau for Africa), which replicate (at least in part) the DIS for bureau projects. Unlike the DIS, these systems cover only a particular region.

The chart on page 4 indicates which methods used provide access to the information sources (see finding #2).

**RELATIONSHIP OF INFORMATION SOURCES ON PAST AID PROJECT EXPERIENCE TO METHODS USED**

Information Sources on Past Experience	Methods for Tapping Sources							
	Documentation			Personal Contacts				
	The DIS	The PBDS	Bureau Info Syst.	AID D.C.	AID Missions	Other Donors	Academia/Contract.	Sector Rev. Com.
Project documents	X		X	X	X			
Technical reports	X		X	X	X	X	X	
Impact assessments	X		X	X	X			
Project financial information		X		X	X			
AID personnel				X	X			X
Other donor professionals						X		
Host country professionals					X			
Technical experts				X	X	X	X	X
Project documents & technical reports produced by others						X	X	

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**4. AID personnel generally apply the following process in using those methods to tap the information sources on past project experience:**

- a. Project planners ask AID colleagues (in the mission and in headquarters) whom they should consult.
- b. Project design usually (but not always) involves the formation of a design team of professionals (inside and outside AID) with relevant project experience.
- c. If they have relevant experience, project planners also draw on that experience.
- d. When formed, headquarters' project review teams also draw on their own experience.
- e. Project planners use documents on past experience to identify professionals to be consulted and to supplement the personal experience of team members.

**5. The most used method is personal contact.** There are two main reasons. First, those persons interviewed say that give-and-take with other people is the best source of information on past experience for new project planning and design.

Second, over its history of delivering developmental assistance, AID has built and supported a network of professional experts with project assistance. The 20 academic institutions supported by the Bureau for Science and Technology (S&T) under the "211 ds" program are highly important members of this network. For example, interviewees said that "when you have a problem on seeds, you go to Mississippi State; when you have one on fish, you go to Auburn." When one combines this extensive professional experience with that of consulting organizations that have long worked with AID, former AID employees, professionals with other donor institutions, and host country professionals, it is evident to most people interviewed that AID has made this human network a part of its information resources.

AID personnel use people in the network not only to interact in project planning and design, but also to identify and assess the quality of those documents which are most relevant.

**6. AID personnel consider documentation on past project experience to be supportive only.** Relying mainly on personal contacts for information on past experience, they do not consider documentation of that experience to be as valuable. There are several reasons.

First, AID did not produce its project documents for use in planning and designing new projects. The purpose of the PID is to provide sufficient information for management to decide whether a project has sufficient merit to move to

more detailed planning. The purpose of the PP is to give the specifications necessary to negotiate an agreement with the host country institution and to implement the project.

Project evaluations are, by and large, limited to the operations of the project evaluated. "Mid-term" evaluations seek to take stock of the project while underway, uncovering those deficiencies which require correction. Final project evaluations have two main purposes: to assess the project's success and to determine (in some cases) what follow-on project would seem to make sense. AID does not write project evaluations to identify lessons learned for new project planning.

On the surface, impact assessments should have information on past project experiences which would be valuable in planning and designing new projects. But some interviewees said that providing lessons learned for future projects was not their purpose. Instead, the creators of impact assessments intended them to be "journal-like" pieces to describe AID experiences. They are not, according to those interviewees, the in-depth assessments needed to deliver sound guidance for future project planning.

In addition, AID did not establish the DIS as an information system supportive of new project development. AID created DIS to transfer technical project information to host countries. Today, however, one of DIS's major purposes is to provide information on past projects for new project planning and design. But since the DIS mainly contains documents written for other purposes, some AID professionals (we don't know the number) say that it has limited usefulness in the planning and design of new projects.

Second, document review requires user interpretation. This follows from the finding that AID has produced the documents for other purposes. Project planners say that they do not have the time to read the mass of project documentation to find lessons learned which might be applicable to their new project planning responsibilities. And they say that they have no way of knowing the quality of the document they are reading. At one time, the DIS staff had the capability to extract from the project documents in the system answers to the questions which project planners were asking. But with a reduced staff, it no longer has that capability. While the DIS contractor does provide document abstracts, some interviewees suggested that they do not highlight information which planners need. Thus, they must still go to the full document.

To address these criticisms, AID's Center for Development Information and Evaluation (PPC/CDIE) is improving its development experience reviews. They encompass:

- Impact evaluations--in-depth examinations of completed projects clustered around sub-sectoral development topics. The results are an identification of lessons learned which planners can apply to new projects.

- Syntheses--special summations of existing evaluations, technical reports, and developmental statistics to provide insights on development trends and on issues common to projects in different categories.

Third, document acquisition may not be timely. Particularly for mission project planners, the requested documents may not arrive in time for use. However, this reason seems less important than the lack of document interpretation, since planners say that they don't have time to read it anyway. But efforts are underway to download the DIS to mission computers, supported by microfiche records of complete documents. This would eliminate the time-delay problem.

Fourth, the quality of AID project evaluations is uneven. Interviewees and previous studies on AID's use of experiential information in new project planning and design cited several reasons why AID personnel are reluctant to rely on project evaluations:

- Many evaluators are reluctant to be completely candid in print.
- Some host country professionals view the evaluation process itself as an effort to criticize them.
- Seldom is enough time allotted to conduct needed in-depth evaluations.
- AID does not reward "good" evaluations.

**7. AID personnel differ in what lessons learned means as applied to new project planning and design.** For some people, a lesson learned is a universal directive: for example, "Never fund a 'X-type' project." For others, a lesson learned directs the planner to a resource: for example, "When you have a fisheries problem, always consult the people at Auburn University."

For still others, lessons learned specify the conditions which must exist for a successful project. And for still others, lessons learned consist of the factors which planners should consider in planning a designing a new project.

## Conclusions

**1. AID project planners rely substantially on past experience to plan and design new projects.** To the extent that AID equates the DIS with its institutional memory of past project experiences, AID may actually weaken it by making changes not consistent with its purposes. It can never be the exclusive method for tapping project information sources.

**2. AID has institutionalized personal contact as its most important method of tapping past experience for new project planning and design.** Perhaps this was not the intent. But as AID personnel have gained project experience in many

countries and supported academic and consultant institutions, it has built and has access to a vast cadre of experts in virtually every active development sector. The network of personal contacts, however informal, allows AID project planners to use those experts. Several people have criticized AID's prime reliance on this network to tap past experience:

- It makes AID personnel increasingly dependent on outside resources, particularly since AID's direct-hire staff is becoming smaller.
- Use of the network is uneven; some planners have much greater access to it than others do because of their experience.
- As experts retire or die, AID loses their experience to the extent that it is not documented.
- For political and historical reasons, AID must document its past experience and rely mainly on that documentation in project planning and design.
- Relying so heavily on the network "freezes out" new ideas from new experts.

Despite these criticisms, we believe that AID will continue to rely heavily on this network of personal contacts. We doubt that documentation will ever capture all the nuances of lessons learned which come from personal interaction. Members of project planning teams tend to stimulate the thinking of each other, allowing each member to recall previously buried observations.

We doubt that AID's reliance on personal contacts, when coupled with a smaller staff, makes the Agency any more dependent on outside resources than would an increasing reliance on documentation since outsiders would probably produce most of it. While use of the network may be uneven, managers can help the less experienced planners tap into the network. While experts do retire or die, they usually leave behind them replacements whom they trained. Documentation is important for political and historical reasons, but AID could be more effective in publicly heralding the network of experience it uses. And while it may be difficult for new experts to gain access to the network, it is also difficult for them to gain access to the document-producing process.

**3. AID's overlapping methods for tapping information on past experience help ensure that planners will use that information.** And the use of many methods seems consistent with AID's management philosophy of project management decentralization.

**4. The development experience reviews will be valuable to project planners if the recorded lessons learned are what planners say they want.** This requires some "meeting of the minds" among Agency personnel as to what lessons learned are as applied to the project planning and design process.

The above conclusions apply only to the planning and design process which planners use.

## APPENDIX

### Interviewees

1. Irving Rosenthal, former AID Mission Director, now with PPC/CDIE.
2. William Shoffley, IRM.
3. Fred Fischer, Director, Office of Pakistan, Nepal, and Sri Lanka Affairs (ASIA).
4. Judy Wills, Evaluation Officer (NE).
5. William Miner, Chief, Social Analysis and Rural Development Division (NE).
6. David Schaer, Chief, Agricultural and Rural Development Division (AF).
7. Edward Saires, Chief, Policy Planning Evaluation and Economics Analysis Budget Division (AF).
8. John Heard, Chief, East Africa Projects Division (AF).
9. John Kelly, former project planner in Latin America, now with IRM.
10. Charles Antholt, Chief, Agriculture and Rural Development Division (ASIA).
11. David Sprague, Director, Office of Education (S&T).
12. Robert Pratt, Deputy Director, Office of Project Development (ASIA).
13. Maureen Norton, Chief, Evaluation Division (ASIA).

Plus group meetings with Haven North and Maury Brown (PPC/CDIE) and the DIS contractor.

### Documents Reviewed

1. Report to the Administrator, Agency for International Development: Experience--A Potential Tool For Improving U.S. Assistance Abroad, U.S. General Accounting Office (June 15, 1982).
2. "Agency for International Development: A Management Appraisal of the Office of Development Information and Utilization," Cresap, McCormick and Paget (January 11, 1980).
3. 1984 Report by Arthur D. Little, Inc., on the use of information of AID's experience in project Development.

SYSTEMS TO BE EXAMINED  
FOR POSSIBLE CONTRIBUTION TO  
AID MEMORY

I. PROGRAM SUPPORT

.Development Information System (DIS). Provides AID project designers with information re the development of projects and programs, technical data specifying the state-of-the-art in project related technologies, and bibliographic materials to used in analyzing project oriented problems.

- Software: INQUIRE
- Disk Space: 157.4 Megabytes
- IRM Contact: F. Harley
- Owner Contact: Lee White

.Economic and Social Data Bank System (ESDB). Maintains economic and social data relevant to the Agency's design, evaluation, and monitoring activities in less developed countries from which country profiles are provided.

- Software: INQUIRE/SAS
- Disk Space: 262.5 Megabytes
- IRM Contact: S. Berry
- Owner Contact: A. Binnendijk

.Research Literature for Development (RANND). Identifies and cites all technical research and development (R&D) materials produced since 1962 under AID program in the areas of agriculture, rural development, nutrition, health, education, human resources, urban development, development assistance, economics and selected problems in science and technology.

- Software:
- Disk Space:
- IRM Contact: F. Harley
- Owner Contact: Lee White

.Country Program Data Bank (CPDB). Provides a readily accessible central source for planning and budgeting information on all Agency project activities, and facilitates monitoring the processing of new projects by responsible AID/W offices.

- Software: INQUIRE
- Disk Space: 15.9 Megabytes
- IRM Contact: R. Cayey
- Owner Contact: B. Hudec

.Agency Document Distribution System (ADDS). Used to disseminate research information resulting from AID-funded research; produce mailing labels and distribution lists; and to distribute documents to interested AID technical specialists, developing nation institutions, universities, and private organizations.

- Software:
- Disk Space:
- IRM Contact: J. Bridendolph
- Owner Contact: Lee White

.Loan/Grant System (LGS) Facilitates the storage, retrieval and reporting of historical loan and grant data compiled by the U.S. Government and by international organizations. Produces tables containing summarized loan/grant information for inclusion in reports required by AID and by congressional committees concerned with foreign aid.

- Software: INQUIRE/SAS
- Disk Space: 4.7 Megabytes
- IRM Contact:
- Owner Contact: A. Binnendijk

## II.A. OPERATIONS SUPPORT: CORE

.Program Budget Data System (PBDS). Collects data in zero base budget format from the Annual Budget Submissions (ABS) by project, appropriation, level, priority ranking, and decision package to assist PPC and the regional bureaus' analysis, manipulation and final presentation to OMB and the Congress.

- Software: INQUIRE
- Disk Space: 390.5 Megabytes
- IRM Contact: G. Cayey
- Owner Contact: B. Hudec

.PPC Operational Year Budget System (OYB). Used by PPC/PB to continuously monitor the Agency-wide Operational Year Budget (maintained at a relatively high summary level, I.E. Funding Source within country) through an interactive data entry and retrieval system. Throughout the fiscal year, enters and reconciles data from central and regional bureau source documents.

- Software: INQUIRE
- Disk Space: 181.1 Megabytes
- IRM Contact:
- Owner Contact: B. Hudec

.Project Accounting Information System (PAIS). This system provides quarterly reporting of all dollars and US owned local currency obligated and expended for all AID funded projects. It also maintains projections for US dollar obligations and expenditures for use in monitoring financial progress (planned vs. actual).

- Software: INQUIRE
- Disk Space: 2.0 Megabytes
- IRM Contact: S. Berry
- Owner Contact: D. Fields M/FM

## II.B. OPERATIONS SUPPORT: SATELLITE

.Program Data Analysis Control File (PDAC). Provides PPC/PB with the capability to maintain country and account control levels for the Congressional Presentation (CP) and other Congressional reports. The system contains financial data in summary form for AID/W and mission allotment, obligations, and disbursements.

- Software: INQUIRE
- Disk Space: 31.9 Megabytes
- IRM Contact: G. Cayey
- Owner Contact: B. Hudec

.Country Financial Reporting System. Reports the financial status for AID/W and USAID allotments, obligations, and disbursement activities of funds provided for the Agency's Foreign Assistance program. System reports are designed to show the financial activity pertaining to each recipient country in summary form.

- Software: COBAL
- Disk Space: 23.1 Megabytes
- IRM Contact: J. Bridendolph
- Owner Contact: P. Conley

.Contract On-line Reporting System (COORS). This system maintains data on all contract and actions. The data is used by the Office of Contract Management to monitor contract and grant administration and to ensure timely submission of reports, publications, final audits and closeout of contracts and grants.

- Software: INQUIRE
- Disk Space: 159.6 Megabytes
- IRM Contact: M. Dodson
- Owner Contact: B. Miller M/SER/CM

.Food for Peace Title I System. Maintains data on the Congressional sale of agricultural commodities to countries, and allows the AID office of Food for Peace to maintain current and accurate budget and approval data and to monitor the status of Title I agreements and shipments.

- Software: COBAL
- Disk Space: 3.5 Megabytes
- IRM Contact: J. Cotten
- Owner Contact: J. Markunas FVA

.Food for Peace Title II System. Maintains price and volume data on surplus agricultural commodities destined for overseas distribution based on AID grants. The reports produced assist personnel of AID and the Department of Agriculture in the budgetting, programming, procurement, allocation, shipping, and distribution worth of wheat, rice, and corn of over 300 million dollars and other food stuffs.

- Software: COBAL
- Disk Space: 35.0 Megabytes
- IRM Contact: J. Cotten
- Owner Contact: J. Markunas

.Registry of Institutional Resources (RIR). An on-line retrieval and reporting system established to incorporate the data-gathering and reporting responsibilities of BIFAD Institutional reports through questionnaires which are used to provide data on capabilities, experience, and levels of preparation of professional staff.

- Software: INQUIRE
- Disk Space: 162.6 Megabytes
- IRM Contact: C. Olivios
- Owner Contact: J. Weidemann BIFAD/S

.Participart Training Information System (PTIS). (No info in inventory)

- Software: INQUIRE
- Disk Space: 38.9 Megabytes
- IRM Contact:
- Owner Contact:

.Inspector General Audit Tracking System. Provides for cataloging and tracking of completed and on-going audit activity information on a world-wide basis; monitors the progress of current activity and tracks open recommendations and actual savings achieved; produces reports for analyzing the volume, types, categories, and coverages of audits performed.

- Software: INQUIRE
- Disk Space: 113.0 Megabytes
- IRM Contact: J. Ross
- Owner Contact:

### III.A. ADMINISTRATIVE SUPPORT:FINANCIAL

### III.B. ADMINISTRATIVE SUPPORT:PERSONNEL

.Revised Automated Manpower and Personnel System (RAMPS). Provides information in the specific areas of position and ceiling management, staffing patterns, employee evaluation, promotions, assignments and training.

- Software: COBAL, DS 3
- Disk Space: 478.8 Megabytes
- IRM Contact: B. English
- Owner Contact: E. Hooker M/PM

### IV. MISSION SUPPORT

.Mission Accounting Control System.

.Development Information Centers

FY 1987 ANNUAL BUDGET SUBMISSION  
TABLE IV - PROJECT BUDGET DATA

BUREAU FOR AFRICA

06/06/85

615 - KENYA

PROJECT NUMBER AND TITLE		ESTIMATED U.S. DOLLAR COST (\$000)										SUB CAT	% PVO	PEACE CORPS	ITEM NO
OBLIG G DATE L INIT FIN	-TOTAL COST- AUTH PLAN	OBLIG THRU FY 84	FY 84 PIPE- LINE	---FY 1985--- OBLIG- ATIONS	EXPEND- ITURES	---FY 1986--- OBLIG- ATION	EXPEND- ITURES	---FY 87--- AAPL							
AGRICULTURE, RURAL DEV. AND NUTRITION															
6150157	NATIONAL RANGE - RANCH DEVELOPMENT														
G 73 80	6170 5494	5494	22	---	---	---	---	---							
6150168	RURAL ROADS SYSTEMS														
G 77 80	1748 1748	1748	100	---	100	---	---	---							11118
L 77 80	13000 13000	13000	403	---	403	---	---	---			FNRR				11119
6150169	AGRICULTURAL SYSTEM SUPPORT PROJECT														
G 78 83	26200 26200	26200	3202	---	1128	---	2074	---							11120
L 78 83	23600 23600	23600	3218	---	2000	---	1218	---			FNEX				11121
6150172	ARID AND SEMI-ARID LAND DEV (KITUI)														
G 79 83	13000 13000	13000	7293	---	2500	---	2500	---			FNLD				11122
6150180	DRYLANDS CROPPING SYSTEMS RESEARCH														
G 79 84	4099 4099	4099	492	---	492	---	---	---			FNDS				11123
6150189	RURAL PLANNING II														
G 80 83	3575 3575	3575	1387	---	1387	---	---	---			FNPA				11125
6150190	ON-FARM GRAIN STORAGE														
L 81 81	7800 7800	7800	6460	---	1000	---	1000	---			FNMS				11126
6150220	RURAL PRIVATE ENTERPRISE														
G 83 85	12000 12000	7000	6759	4000	1500	---	2000	---			FNPE	34			11136
L 83 85	24000 24000	24000	24000	---	2400	---	3000	---			FNPE	34			11137
6150221	AGRICULTURAL MANAGEMENT														
G 85 87	15000	---	---	---	3000	---	1000	---							12276
6150228	AGRICULTURAL SECTOR GRANT														

FY 1987 ANNUAL BUDGET SUBMISSION  
TABLE IV - PROJECT BUDGET DATA

BUREAU FOR AFRICA

06/06/85

615 - KENYA

PROJECT NUMBER AND TITLE				ESTIMATED U.S. DOLLAR COST (\$000)							SUB CAT	% PVO	PEACE CORPS	ITEM NO
GBLIG	DATE	TOTAL COST-	OBLIG	FY 84	FY 1985	FY 1986	FY 87	OBLIG	EXPEND-	OBLIG				
L INIT	FIN	AUTH PLAN	THRU	PIPE-	OBLIG-	EXPEND-	AAPL	ATION	ITURES	ATION	ITURES			
			FY 84	LINE	ATIONS	ITURES								
G 82	82	8800	8800	4400	66	---	66	---	---	---	---	FNSA		12275
6150229	AGRICULTURAL TECHNOLOGY													
G 86	88	---	40000	---	---	---	---	9640	---	---	---	FNDS		8927
6150230	AGRICULTURE SECTOR LOAN													
L 84	84	13000	13000	13000	13000	---	13000	---	---	---	---	FNSA		11608
6150236	KENYA PVO CO-FINANCING													
G 85	89	---	5000	---	---	1200	100	2000	500	---	---			13878
6150510	PROGRAM DEV. AND SUPPORT-KENYA													
G 85	C	---	---	---	---	560	560	60	60	---	---			12277
APPROPRIATION														
TOTAL	156992	216316	146916	66402	8760	26636	11700	13352	---	---	---			
GRANT	75592	134916	65516	19321	8760	7833	11700	8134	---	---	---			
LOAN	81400	81400	81400	47081	---	18803	---	5218	---	---	---			
POPULATION PLANNING														
6150165	POPULATION STUDIES AND RESEARCH CENTER													
G 76	80	2692	2692	2692	66	---	66	---	---	---	---			11117
6150193	FAMILY PLANNING II													
G 82	82	4000	4000	4000	3271	---	1500	---	1771	---	---	PNFP		11127
6150216	FAMILY PLANNING MANAGEMENT PROGRAM (PVO)													
G 83	83	310	310	310	310	---	200	---	72	---	---	PNRO		11134
6150223	PRIVATE SECTOR FAMILY PLANNING													
G 83	84	4500	4500	4500	3945	---	1500	---	1500	---	---	PNFP		11139
6150232	FAMILY PLANNING III													
G 85	89	---	35000	---	---	2000	---	7800	3000	---	---			12278
6150510	PROGRAM DEV. AND SUPPORT-KENYA													

FY 1987 ANNUAL BUDGET SUBMISSION  
TABLE IV - PROJECT BUDGET DATA

BUREAU FOR AFRICA

615 - KENYA

06/06/85

PROJECT NUMBER AND TITLE		ESTIMATED U.S. DOLLAR COST (\$000)										PEACE CORPS	ITEM
G	OBLIG DATE	-TOTAL COST-	OBLIG THRU	FY 84	PIPE-	FY 1985	FY 1986	FY 1987	SUB	%			
L	INIT FIN	AUTH PLAN	FY 84	LINE		OBLIG- ATIONS	EXPEND- ITURES	OBLIG- ATION	EXPEND- ITURES	AAPL	CAT	PVO	NG
G 85	C	---	---	---	---	100	100	40	40	---			12279
APPROPRIATION													
	TOTAL	11502	46502	11502	7592	2100	3366	7840	6383	---			
	GRANT	11502	46502	11502	7592	2100	3366	7840	6383	---			
	LOAN	---	---	---	---	---	---	---	---	---			
HEALTH													
6150185	KITUI PRIMARY HEALTH CARE (PVO)												
G 79	79	413	413	413	1	---	---	---	---	---			
6150187	HEALTH PLANNING AND INFORMATION												
G 79	83	2450	2450	2450	563	---	363	---	200	---	HEPP	30	11124
6150216	FAMILY PLANNING MANAGEMENT PROGRAM (PVO)												
G 83	83	310	310	310	155	---	200	---	35	---	HEDH	100	11133
6150219	KITUI PRIMARY HEALTH CARE II (PVO)												
G 83	83	500	500	500	229	---	150	---	79	---	HEDH	100	11135
6150510	PROGRAM DEV. AND SUPPORT-KENYA												
G 85	C	---	---	---	---	65	65	90	90	---			12283
APPROPRIATION													
	TOTAL	3673	3673	3673	948	65	778	90	404	---			
	GRANT	3673	3673	3673	948	65	778	90	404	---			
	LOAN	---	---	---	---	---	---	---	---	---			
EDUCATION AND HUMAN RESOURCES													
6150214	TECHNOLOGICAL TRAINING												
G 81	81	500	500	451	84	---	---	---	---	---			
6150234	TRAINING FOR DEVELOPMENT												
G 86	90	---	25000	---	---	---	---	2000	500	---			12284
6150510	PROGRAM DEV. AND SUPPORT-KENYA												
G 85	C	---	---	---	---	25	25	20	20	---			12285

FY 1987 ANNUAL BUDGET SUBMISSION  
TABLE IV - PROJECT BUDGET DATA

BUREAU FOR AFRICA

06/06/85

615 - KENYA

PROJECT NUMBER AND TITLE		ESTIMATED U.S. DOLLAR COST (\$000)										SUB CAT	% PVO	PEACE CORPS	ITEM NO
OBLIG G DATE L INIT FIN	-TOTAL COST- AUTH PLAN	OBLIG THRU FY 84	FY 84 PIPE- LINE	FY 1985		FY 1986		FY 1987		AAPL					
				OBLIG- ATIONS	EXPEND- ITURES	OBLIG- ATION	EXPEND- ITURES								
APPROPRIATION															
TOTAL	500	25500	451	84	25	25	2020	520							
GRANT	500	25500	451	84	25	25	2020	520							
LOAN															
SELECTED DEVELOPMENT ACTIVITIES															
6150205	RENEWABLE ENERGY DEVELOPMENT														
G 80 81	4800	4800	4800	1939		1245		694			SDEG	30		11128	
6150208	SMALL BUSINESS DEVELOPMENT (OPG)														
G 82 82	500	500	500	41		41					SDPE	100		11131	
6150212	SMALL TOWNS HG-TA														
G 81 85	665	995	665	338	330	500		168			SDHU			11132	
6150225	PRIVATE SECTOR HOUSING FINANCE														
G 84 85	1120	1120	500	500	620	300		500			SDHU			11511	
6150226	MASENO SO. ENTERPRISE DEVELOPMENT (OPG)														
G 82 82	500	500	500	343		343					SDPE	100		11140	
6150510	PROGRAM DEV. AND SUPPORT-KENYA														
G 85 C					100	100	50	50						12286	
APPROPRIATION															
TOTAL	7585	7915	6965	3161	1050	2529	50	1412							
GRANT	7585	7915	6965	3161	1050	2529	50	1412							
LOAN							50	1412							
FUNCTIONAL ACCOUNT															
TOTAL	180252	299906	169507	78187	12000	33334	21700	22071							
GRANT	98852	218506	88107	31106	12000	14531	21700	16853							
LOAN	81400	81400	81400	47081		18803		5218							
ECONOMIC SUPPORT FUND															
6150200	COMMODITY IMPORT PROGRAM														
G 80 83	20000	20000	20000	87		87					ESCI			12287	

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FY 1987 ANNUAL BUDGET SUBMISSION  
TABLE IV - PROJECT BUDGET DATA

BUREAU FOR AFRICA

06/06/85

615 - KENYA

PROJECT NUMBER AND TITLE		ESTIMATED U.S. DOLLAR COST (\$000)										PEACE CORPS	ITEM NO
OBLIG G	DATE	-TOTAL COST-		OBLIG THRU	FY 84	-FY 1985-		-FY 1986-		-FY 87-	SUB CAT	% PVO	
L	INIT FIN	AUTH	PLAN	FY 84	PIPE-	OBLIG-	EXPEND-	OBLIG-	EXPEND-	AA PL			
					LINE	ATIONS	ITURES	ATION	ITURES				
6150213	STRUCTURAL ADJUSTMENT PROGRAM GRANT												
G 83 86		70000	114000	49000	21000	30000	16815	35000	48000	---	FNPE		8926
AP PROPRIATION													
TOTAL		90000	134000	69000	21087	30000	16902	35000	48000	---			
GRANT		90000	134000	69000	21087	30000	16902	35000	48000	---			
LOAN		---	---	---	---	---	---	---	---	---			
DA AND SSA													
TOTAL		270252	433906	238507	99274	42000	50236	56700	70071	---			
GRANT		188852	352506	157107	52193	42000	31433	56700	64853	---			
LOAN		81400	81400	81400	47081	---	18803	---	5218	---			
COUNTRY TOTAL													
TOTAL		270252	433906	238507	99274	42000	50236	56700	70071	---			
GRANT		188852	352506	157107	52193	42000	31433	56700	64853	---			
LOAN		81400	81400	81400	47081	---	18803	---	5218	---			

ITEMS RETRIEVED 65

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## APPENDIX C

AGENCY FOR INTERNATIONAL DEVELOPMENT  
DOLLAR FUNDED ASSISTANCE  
INFORMATION AS OF 04/30/85 - IN THOUSANDS OF DOLLARS

BUREAU FOR AFRICA  
COUNTRY: KENYA

PROJECT	TITLE	L/G	N/C	PROGRAMMED OYB	CURRENT FY OBLIGATIONS	UNOBLIGATED BALANCE
-----						
AGRICULTURE, RURAL DEV. AND NUTRITION						
6150220	RURAL PRIVATE ENTERPRISE	G	C	4,000	4,000	0
6150221	AGRICULTURAL MANAGEMENT	G	N	3,000	0	3,000
6150236	KENYA PVO	G	N	1,200	0	1,200
6150510	PROGRAM DEV. AND SUPPORT-KENYA	G	N	560	180	380
APPROPRIATION TOTALS:				8,760	4,180	4,580
POPULATION PLANNING						
6150232	FAMILY PLANNING III	G	N	2,000	0	2,000
6150510	PROGRAM DEV. AND SUPPORT-KENYA	G	N	100	0	100
APPROPRIATION TOTALS:				2,100	0	2,100
HEALTH						
6150187	HEALTH PLANNING AND INFORMATION	G	C	100	100	0
6150236	PVO CO-FINANCING	G	N	2,000	0	2,000
6150510	PROGRAM DEV. AND SUPPORT-KENYA	G	N	65	0	65
APPROPRIATION TOTALS:				2,165	100	2,065
EDUCATION AND HUMAN RESOURCES DEVELOPMENT. DEVELOPMENT ASSISTANCE						
6150510	PROGRAM DEV. AND SUPPORT-KENYA	G	N	25	0	25
APPROPRIATION TOTALS:				25	0	25
TECH. ASST., ENERGY, R. & R., AND SELECTED DEVELOPMENT PROBLEMS						
6150212	SMALL TOWNS HG-TA	G	C	330	0	330
6150225	PRIVATE SECTOR HOUSING FINANCE	G	C	620	400	220
6150510	PROGRAM DEV. AND SUPPORT-KENYA	G	N	100	0	100
APPROPRIATION TOTALS:				1,050	400	650
ECONOMIC SUPPORT FUND						
6150213	STRUCTURAL ADJUSTMENT PROGRAM GRANT	G	C	30,000	0	30,000

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AGENCY FOR INTERNATIONAL DEVELOPMENT  
DOLLAR FUNDED ASSISTANCE  
INFORMATION AS OF 04/30/85 - IN THOUSANDS OF DOLLARS

BUREAU FOR AFRICA  
COUNTRY: KENYA

PROJECT	TITLE	L/G N/C	PROGRAMMED OYB	CURRENT FY OBLIGATIONS	UNOBLIGATED BALANCE
			30,000	0	30,000
			0	0	0
			44,100	4,680	39,420
			44,100	4,680	39,420

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APPENDIX D

FY 85 CP ECONOMIC AND SOCIAL DATA

COUNTRY: (615) KENYA

\*BASIC DATA\*

TOTAL POPULATION.. (THOUSANDS,MID 1983) 18,580

PER CAPITA GNP..... (DOLLARS,1981) 420

ANNUAL PER CAPITA REAL GNP GROWTH RATE.. (1970-81) 3.1%

ANNUAL RATE OF INFLATION (1970-81) 10.2%

NATIONAL INCOME RECEIVED BY LOW 20% OF POPULATION..( .) . %

LIFE EXPECTANCY AT BIRTH, IN YEARS  
 (1982) TOTAL 56.0 MALE 54.2 FEMALE 58.0  
 (1970) TOTAL 48.7 MALE 46.7 FEMALE 50.8

ADULT LITERACY RATE (1980) TOTAL 47% MALE 60% FEMALE 35%

\*AGRICULTURE\*

ANNUAL PER CAPITA AGRICULTURAL PRODUCTION GROWTH RATE  
 (1973-1982) 0.3%

AGRICULTURAL PRODUCTION AS % OF GDP.....(1980) 28%

POPULATION DENSITY / SQ MI OF AGRICULTURAL LAND (1979) 655

MAJOR CROP(S) ARABLE LAND YEAR  
 SUBSISTENCE: CORN ,CATTLE ,PULSES 77% (1982)  
 CASH: COFFEE ,TEA ,BEEF AND VEAL 9% (1982)

MAJOR AGRICULTURAL EXPORTS:(1982) COFFEE ,TEA ,PINEAPPLES

MAJOR AGRICULTURAL IMPORTS:(1982) PALM OIL ,WHEAT ,MILK

PROPORTION OF LABOR FORCE IN AGRICULTURE.....(1980) 78%

\*CENTRAL GOVERNMENT FINANCES\*

TOTAL REVENUES AND GRANTS (\$ MILLIONS, U.S.)  
 (1979) 1,351 (80) 1,640 (81) 1,565

TOTAL EXPENDITURES AND NET LENDING (\$ MILLIONS, U.S.)  
 (1979) 1,755 (80) 1,963 (81) 2,013

DEFICIT(-) OR SURPLUS (\$ MILLIONS, U.S.)  
 (1979) -403 (80) -324 (81) -448

DEFENSE EXPENDITURES,  
 AS % OF TOTAL EXPENDITURES.. (1979) 16.1% (80) 15.3% (81) 10.0%  
 AS % OF GNP..... (1979) 4.8% (80) 4.4% (81) 3.2%

OFFICIAL INTERNATIONAL RESERVES, GROSS HOLDINGS END OF PERIOD,  
 (\$MILLIONS, U.S.) (1980) 501 (81) 250 (82) 229  
 EQUIVALENT TO 1.6 MONTHS OF IMPORTS (1981)

\*FOREIGN TRADE\*

MAJOR EXPORTS... (1981) COFFEE ,TEA ,LIVESTOCK

EXPORTS TO U.S.  
 (\$ MILLIONS, US, FOB) (1980) 46 (1981) 20 (1982) 70  
 AS % OF TOTAL EXPORTS (1979) 4% (1980) 4% (1981) 2%

MAJOR IMPORTS....(1981) MACHINERY ,TRANSPORT EQPT ,CRUDE OIL

IMPORTS FROM U.S.  
 (\$ MILLIONS, US, CIF) (1980) 153 (1981) 99 (1982) 107  
 AS % OF TOTAL IMPORTS (1979) 6% (1980) 7% (1981) 5%

TRADE BALANCE(\$ MILLIONS, U.S.)(1979) -563(80) -1,048(81) -860

TRADING PARTNERS: UNITED KINGDOM ,WEST GERMANY ,JAPAN

EXTERNAL PUBLIC DEBT AS % OF GNP (1981) 54.1%

SERVICE PAYMENTS ON EXTERNAL PUBLIC DEBT,  
 (\$ MILLIONS, U.S.)..... (1981) 292  
 AS % OF EXPORT EARNINGS (DEBT SERVICE RATIO).... (1981) 28.6%

\*SOCIAL DATA\*

POPULATION GROWTH RATE...(1970) 3.4% (1978) 4.0% (1983) 4.1%

POPULATION IN URBAN AREAS.....(1970) 10% (1982) 15%

LIVE BIRTHS PER 1,000 POPULATION.....(1970) 50 (1983) 53

MARRIED WOMEN AGED 15-44 YRS. USING CONTRACEPTION. (1978) 6.6%

POPULATION (1980) IN AGE GROUP:  
 (0-14YRS) 50.0% (15-64YRS) 47.6% (65+ YRS) 2.4%

INFANT DEATHS IN FIRST YR OF LIFE PER 1000 LIVE BIRTHS (1983) 71

PEOPLE PER PHYSICIAN..... (1978) 11,625

MAJOR CAUSES OF  
 DISEASE (1978) MENINGITIS ,SCHISTOSOMIASIS ,DYSENTERY  
 DEATH.. (1978) MENINGITIS ,DYSENTERY ,TETANUS

PER CAPITA CALORIE SUPPLY AS A % OF REQUIREMENTS.. (1977) 96%

POPULATION WITH REASONABLE ACCESS TO SAFE WATER SUPPLY(1975) 17%

TOTAL SCHOOL ENROLLMENT AS % OF POPULATION IN AGE GROUP:  
 PRIMARY..... (1978) TOTAL 99.0% MALE 105% FEMALE 94.0%  
 SECONDARY..... (1978) TOTAL 18.0% MALE 22.0% FEMALE 14.0%  
 POST SECONDARY.. ( .) TOTAL . % MALE . % FEMALE . %

ENERGY PRODUCTION AS % OF CONSUMPTION.....(1981) 7.7%

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**U.S. OVERSEAS LOANS AND GRANTS – OBLIGATIONS AND LOAN AUTHORIZATIONS**  
(U.S. Fiscal Years – Millions of Dollars)

**ECONOMIC PROGRAMS OF ALL DDNDRS**  
(Millions of Dollars)

**COUNTRY KENYA**

PROGRAM	FOREIGN ASSISTANCE ACT PERIOD					TOTAL LOANS AND GRANTS 1946-82	REPAY. MENTS AND INTEREST 1946-82	TOTAL LESS REPAY. MENTS AND INTEREST 1946-82
	1978	1979	1980	1981	1982			
<b>I. ECONOMIC ASSISTANCE – TOTAL</b>	33.7	21.7	54.5	48.8	59.3	404.5	24.4	380.1
Loans	20.2	3.4	16.1	22.3	18.9	159.5	24.4	145.1
Grants	13.5	18.3	38.4	26.0	40.4	235.0	-	235.0
<b>a. A.I.D. and Prodigioso Agencies</b>	30.2	16.9	31.8	20.3	33.9	263.7	3.6	255.1
Loans	20.2	3.4	-	7.8	4.6	111.4	3.6	102.3
Grants	10.0	13.5	31.8	12.5	34.3	152.3	-	152.3
(Economic Support Fund)	-	-	14.5	5.5	10.7	30.7	-	-
<b>b. Food for Peace (PL 480)</b>	0.8	1.2	19.3	25.4	17.4	102.2	15.3	86.4
Loans	-	-	16.1	15.0	14.3	33.1	15.3	42.3
Grants	0.8	1.2	3.2	10.4	3.1	44.1	-	44.1
Title I - Total Sales Agreements	-	-	16.1	15.0	14.3	58.1	15.3	42.3
Repayable in U.S. Dollars - Loans	-	-	16.1	15.0	14.3	58.1	15.3	42.3
Payable in Foreign Currency - Planned for Country Use	-	-	-	-	-	-	-	-
Title II - Total Grants	0.8	1.2	3.2	10.4	3.1	44.1	-	44.1
Emerg. Relief, Econ. Develop. & World Food Program	-	-	-	2.9	-	15.9	-	15.9
Voluntary Relief Agencies	0.8	1.2	3.2	7.5	3.1	28.2	-	28.2
<b>c. Other Economic Assistance</b>	2.7	3.6	3.4	3.1	3.0	38.6	-	38.6
Loans	-	-	-	-	-	-	-	-
Grants	2.7	3.6	3.4	3.1	3.0	38.6	-	38.6
Peace Corps	2.7	3.6	3.4	3.1	3.0	38.6	-	38.6
Narcotics	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-
<b>II. MILITARY ASSISTANCE – TOTAL</b>	27.4	10.4	20.5	6.5	33.1	149.3	59.2	90.1
Credits or Loans	27.0	10.0	20.0	6.0	22.0	135.0	59.2	75.3
Grants	0.4	0.4	0.5	0.5	1.1	14.3	-	14.3
<b>a. MAP Grants</b>	-	-	-	-	10.0	10.0	-	10.0
<b>b. Credit Financing - FMS</b>	27.0	10.0	20.0	6.0	22.0	135.0	59.2	75.3
<b>c. Military Assistance Service-Funded (MASF) Grants</b>	0.4	0.4	0.5	0.5	1.1	4.3	-	4.3
<b>d. Transfers from Excess Stocks</b>	-	-	-	-	-	-	-	-
<b>e. Other Grants</b>	-	-	-	-	-	-	-	-
<b>III. TOTAL ECONOMIC AND MILITARY ASSISTANCE</b>	61.1	32.1	75.0	55.3	92.4	553.3	33.6	470.2
Loans	47.2	13.4	36.1	28.8	40.9	304.5	33.6	220.9
Grants	13.9	18.7	38.9	26.5	51.5	249.3	-	249.3
<b>Other U.S. Government Loans and Grants</b>	6.1	-	-	0.3	-	19.2	17.1	1.3
<b>a. Export-Import Bank Loans</b>	6.1	-	-	-	-	13.9	17.1	1.3
<b>b. All Other Loans</b>	-	-	-	0.3	-	0.3	*	*

\* LESS THAN \$50,000.

**A. ASSISTANCE FROM INTERNATIONAL AGENCIES – COMMITMENTS**

	FY 1981	FY 1982	FY 1983	FY 1946-83
TOTAL	171.3	158.0	236.5	1945.7
IBRD	33.0	70.2	79.9	1017.0
IFC	10.0	9.5	7.4	63.4
IDA	50.0	61.0	113.0	629.7
IDB	0.0	0.0	0.0	0.0
ADB	0.0	0.0	0.0	0.0
AFDB	0.0	13.3	19.2	75.3
UNDP	4.3	7.0	0.0	61.2
OTHER-JN	7.0	0.0	0.0	17.2
EOC	7.5	6.5	17.0	75.9

**B. BILATERAL OFFICIAL DEVELOPMENT ASSISTANCE**

**1. D.A.C. COUNTRIES (Gross Disbursements)**

	CY 1981	CY 1982	CY 1978-82
United States	78.0	54.0	201.0
United Kingdom	74.6	56.3	285.0
Germany Fed. Rep.	42.3	31.3	220.2
Netherlands	38.2	55.4	193.7
Sweden	14.5	14.7	125.7
Other	133.2	137.3	526.0
Total	380.8	349.0	1,551.6

**2. O.P.E.C. COUNTRIES (Gross Disbursements)**

	CY 1981	CY 1982	CY 1978-81
	-	N.A.	2.1

**C. LOANS AND GRANTS EXTENDED BY COMMUNIST COUNTRIES**

	CY 1981	CY 1982	CY 1954-82
USSR	-	-	50
Eastern Europe	-	-	-
China	-	-	65
Total	-	-	115

## Kenya

PROGRAM SUMMARY (In thousands of dollars)								
Fiscal Year	Total	Agriculture, Rural Development and Nutrition	Population Planning	Health	Education and Human Resources Development	Selected Development Activities	Other Programs	
							ESF	Other
1983								
Loans	11,600	11,600	-	-	-	-	-	-
Grants	48,994	15,674	2,510	810	-	-	30,000	-
Total	60,594	27,274	2,510	810	-	-	30,000	-
1984								
Loans	27,400	27,400	-	-	-	-	-	-
Grants	46,800	4,000	2,300	-	-	500	40,000	-
Total	74,200	31,400	2,300	-	-	500	40,000	-
1985								
Loans	-	-	-	-	-	-	-	-
Grants	85,000	29,380	-	-	-	620	55,000	-
Total	85,000	29,380	-	-	-	620	55,000	-

Note: The above total for FY 1984 excludes \$148 thousand which has already been notified for deobligation and has not yet been identified for reobligation by project.

FY 1985 PROGRAM HIGHLIGHTS	
<p>Support will continue for restructuring the economy and providing inducements to private sector productivity and delivery of family planning services. Policy dialogue with Government and support for policy implementation, in coordination with World Bank and I.M.F., are major elements of U.S. program aid:</p> <p>--Balance of payments (ESF) - \$55 million, and</p> <p>--Food aid support (P.L. 480) - \$10 million.</p> <p>One new project (DA) is planned:</p> <p>--to institutionalize a national capacity to develop and adapt food production technologies to conditions faced by smallholders - \$29.4 million</p>	

## Kenya

RESOURCE FLOWS (In thousands of dollars)			
Program	FY 1983 (Actual)	FY 1984 (Estimated)	FY 1985 (Proposed)
Aid*			
Loans	5,015	15,653	21,800
Grants	52,334	61,728	57,467
Total AID	57,349	77,381	79,267
P.L. 480**			
Title I	15,000	5,000	10,000
(of which Title III is)	( - )	( - )	( - )
Title II	2,636	4,852	5,139
Total P.L. 480	17,636	9,852	15,139
Total AID and P.L. 480	84,837	87,233	94,406

\*AID levels represent actual and estimated expenditures.  
\*\*P.L. 480 levels represent actual and estimated value of shipments.

PERSONNEL/PARTICIPANTS DATA			
Category	FY 1983 (Actual)	FY 1984 (Estimated)	FY 1985 (Proposed)
AID Personnel <sup>a</sup>			
Direct Hire <sup>b</sup>	22	27	24
PASAC <sup>c</sup>	7	1	-
Contract	10	15	12
Total	39	43	36
Participants <sup>d</sup>			
Noncontract	37	20	10
Contract	79	75	47
Total	116	95	57

<sup>a</sup>U.S. nationals on duty at the end of the fiscal year.  
<sup>b</sup>FY 1984 and 1985 position levels.  
<sup>c</sup>Participating agency technicians.  
<sup>d</sup>Programmed during the fiscal year.

P.L. 480 PROGRAM SUMMARY  
(In 000 MT/\$000)

Program	FY 1983 (Actual)		FY 1984 (Estimated)		FY 1985 (Proposed)	
	MT	\$	MT	\$	MT	\$
Title I						
Wheat	70,550	10,900	6,000	1,000	45,000	7,000
Rice	12,818	4,100	11,000	4,000	-	-
Feedgrains	-	-	-	-	8,000	3,000
Vegoil	-	-	-	-	-	-
Non-food	-	-	-	-	-	-
Title I Total (of which Title III is)		15,000		5,000		10,000
Title II						
Voluntary Agencies		2,636		3,239		3,429
World Food Programs		-		1,613		1,210
Gov't-to-Gov't		-		-		-
Title II Total		2,636		4,852		3,429
Total P.L. 480		17,636		9,852		15,139

## Kenya

Kenya has achieved substantial progress in its twenty years of independence by pursuing pragmatic development policies and maintaining a comparatively open, stable political system. In the past five years, however, economic growth has slowed and inefficiencies and rigidities in government and the market place have become apparent. Political tensions rose sharply with the attempted coup in 1982 but have subsided with the relatively peaceful conclusion of the September 1983 elections. Under the 1979-83 Development Plan, Kenya's Gross Domestic Product was to have grown at an annual rate of 6.3%. In light of current economic realities, growth estimates have been revised downward to 3.9% per year. Moreover, given the decline in the terms of trade, the growth rate of total resources over the period will average only 2.0% in real terms, well below the 4.1% rate of population increase. On average, people are less well off in Kenya in 1983 than they were in 1978. An average per capita GDP of \$351 (in 1982) disguises an even lower standard of living in rural areas where over four-fifths of the population live.

Underlying factors limiting Kenya's development include a poor natural resource endowment, uneconomic use of resources due to problems of public policy, and instability in external markets. Only 18% of Kenya's land has high or medium agricultural potential, and its exploitation for commercial farming began only in the twentieth century following the opening of the country's interior by rail. More than 72% of Kenya's land is arid, and another 10% is semi-arid. Kenya is also poorly endowed with other natural resources. Mining and quarrying in 1982 accounted for less than 0.2% of GDP.

In some ways, the development problems Kenya faces today stem from its previous successes. Kenya's high population growth rate reflects, in part, dramatic increases in health and other social services. Kenya's policy of providing such services using high cost conventional methods has resulted in uneven coverage and has put a severe strain on the ability of the Government of Kenya (GOK) to fund recurrent costs. Kenya's successful policy of redistributing land after independence led to large increases in output and productivity. Population growth and the breakup of large landholdings, however, have combined to increase the number of small farms and to challenge the ability of agricultural support systems to supply the appropriate technologies and inputs required to increase productivity.

In the medium term, Kenya's most promising avenues for development lie in the expansion of agricultural production and processing, and in increased exports. The promotion of labor intensive processing and manufacturing, especially in agribusiness, will be particularly important to Kenya's development, and to the numbers of underemployed workers. Furthermore, investment in human resources (e.g., nutrition, education, housing, health) are needed to improve the quality of the labor force and increase Kenya's competitiveness in regional and international markets. The private sector must undertake an even larger role in the drive to improve productivity.

### U.S. Interests and Objectives

## Kenya

U.S. interests in Kenya's stable government and market-oriented economy are economic, political, strategic and humanitarian.

Kenya's relatively democratic system is important to the United States as a demonstration of development within an open economic and social system. Kenya's comparatively free market economy and positive attitude toward foreign investment have made it an attractive location for U.S. businesses. More than 140 U.S. firms have offices in Kenya, and total U.S. private investment exceeded \$325 million by 1983.

U.S. strategic interests in Kenya are related to the support Kenya provides for U.S. international positions and policies, reflected in part by Kenyan willingness to provide access to U.S. military ships and aircraft operating in the Indian Ocean. Kenyan ports are the best now available to the United States along the Indian Ocean coast. U.S. objectives are to support economic development in Kenya as the basis for continued progress in economic, social and related areas of national life.

### A.I.D. Development Strategy

A.I.D. strategy is conditioned by Kenya's current severe balance of payments difficulties and by serious limitations on the GOK's ability to finance recurrent costs and to implement development projects fully. The United States therefore emphasizes new approaches involving program assistance and policy dialogue with the GOK and increased reliance on the private sector, non-government organizations, and local community self-help efforts.

Program assistance channels balance of payments and budget support to the GOK in ways designed to permit full funding of priority development activities while minimizing the recurrent cost burden associated with new project starts. The need for balance of payments assistance has highlighted the necessity for reform and has increased the opportunity for policy dialogue and policy implementation, particularly with regard to improved control of GOK expenditures, more frequent interest and exchange rate adjustments, improved export incentives and import administration, freer importation of required agricultural inputs, and improved prices for farmers. The GOK's policy dialogue with the IMF, the World Bank, AID, and others has been intensive. Political considerations frequently cause policy change to be painful and slow. Nevertheless, structural economic reforms, aimed largely at an expanded role for the market, have been adopted as a matter of policy and are being implemented. The GOK has reduced its fiscal deficit from 10 percent of GDP in 1980/81 to 3 percent of GDP in 1982/83, thereby successfully meeting targets set forth in the most recent IMF Stand-By Agreement. In the field of monetary policy, the GOK is making more active use of interest rate adjustments to encourage domestic savings and capital formation and to allocate credit more efficiently. At the urging of donors, major deposit rates were increased from 5% to 12.5% between June 1980 and December 1982, and lending rates from 10% to 16%. With regard to the external sector, the GOK has devalued the Kenya shilling on four occasions between February 1981 and December 1982 for cumulative adjustment

## Kenya

of 46 percent against the Special Drawing Right (SDR). Since 1980 the former system of quantitative import quotas has largely been dismantled, and a new and more uniform tariff was adopted in June 1983. The current account trade deficit was successfully reduced from 12.6 percent of GDP in 1980, to 7.1 percent in 1982, with a further improvement to 6 percent of GNP projected for 1983.

Problems facing agriculture were addressed in the National Food Policy paper published by the GOK in early 1981. The GOK has introduced large increases in producer prices and, in conjunction with favorable weather, the overall food situation has turned from deficit to surplus. The World Bank, A.I.D. and other donors are currently providing program assistance and are supporting necessary policy studies and actions relating to agricultural pricing, marketing, storage, credit, and financial planning and management.

In another important area the United States and the World Bank have been the major donors supporting population policy analysis and planning, the establishment of the National Council on Population and Development, and implementation of the Kenya Government's family planning policy. The A.I.D. strategy similarly supports policy analysis, and discrete projects, to demonstrate low-cost techniques and the feasibility of cost sharing by beneficiaries in a number of important areas including renewable energy, on-farm grain storage, housing and rural health services.

U.S. policy dialogue, program assistance and projects are directed ultimately to the achievement of three objectives: (a) increased rural production, employment and income; (b) reduced population growth; and (c) efficient delivery of basic social services. A.I.D.'s emphasis on increased rural production is designed to improve the balance of payments deficit by reducing food imports and increasing exports, and to expand directly the private sector tax base and reduce the GOK deficit. The program concentrates on expanding production on small farms in two geographic areas: the high and medium potential lands of Western Kenya, and the important but ecologically fragile semi-arid lands as exemplified by Kitui District. The objectives of reducing population growth will ultimately reduce the pressure on recurrent cost expenditures, but more efficient methods of delivering basic services, particularly through the private sector, must also be demonstrated.

### A.I.D. Program (FYs 1983-1984)

#### A. Agriculture, Rural Development and Nutrition

To help Kenya increase productivity on small farms A.I.D. supports policy changes required to provide access to agricultural inputs and markets. Many of Kenya's agricultural marketing and pricing policies, and the country's policy of industrial protection, have discriminated against the rural sector. Kenya's program of structural adjustment and trade liberalization is beginning to address this imbalance. The United States has supported such structural adjustment measures with Economic Support Funds and P.L. 480

## Kenya

Assistance totaling \$124 million during Fiscal Years 1980-83. The ESF program has reversed the Kenya Government's de facto policy of limiting fertilizer imports for balance of payments reasons, substantially increased maize output, and reduced food imports. The program is now expanding the role of the private sector in determining fertilizer requirements, and in financing and distributing fertilizer supplies. The P.L. 480 program provides added balance of payments support by helping to finance grain imports and provides some additional incentive for self-help policy measures including recent agricultural price reforms, such as increased prices to producers of maize, wheat, rice, and beef.

Several fully funded AID activities will continue in FY 1983 and FY 1984 to develop agricultural training institutions, improve management of credit, conduct research to promote agricultural and livestock production in arid and semi-arid lands, and improve storage on small farms. These activities are encompassed in Agricultural Systems Support project (615-0169), Arid and Semi-Arid Lands Development (615-0172) and On-Farm Grain Storage (615-0190). The expansion of Egerton College to double its former capacity and the training of its faculty to M.A. and Ph.D. levels will be completed. The College has already embarked on a program to offer in-service courses to extension agents, adult education on agricultural topics, and management training to public and private sector entrepreneurs and managers. The twenty-two active research and development programs in range management and livestock production and the several well-launched programs in dryland cropping management will be sufficiently advanced by the end of FY 1984 to form the basis of extension to farmers of dryland areas. A.I.D. efforts to improve management and training in cooperatives, in their headquarters and for agricultural credit have demonstrated that centralized public programs can be improved to some extent but cannot provide the full solution to problems in agricultural management. Future efforts in management will emphasize approaches in the private sector. The grain storage project, whose technical implementation began in FY 1983, will train over 1,500 ministry, field and technical staff and assist over 23,000 maize producers on small farms. Through the centrally funded Collaborative Research Support project, an effort is being made through research to increase yields of meat, milk and filler from sheep and goats in intensive livestock systems. One of the outstanding contributions to date has been the positive identification and eradication of a disease (Caprine Arthritis - Encephalitis) in the goat population of Kenya.

Kenya has continued to promote equitable participation in the benefits of development by announcing a policy to implement rural development through its 41 districts. The background for this District Focus policy has been developed and supported through the fully funded A.I.D. project Rural Planning II (615-0189) and through A.I.D. support to the Technical Assistance Pool, a group of advisers on agricultural development policy funded by several donors. The Small Towns and Community Development project and the regional Environmental Training and Management project (698-0427) are also contributing to the analysis of needs in rural centers, offering training in planning for development and helping local governments to manage

their resources.

FY 1984 funds will be used to complete the financing of the Rural Private Enterprise project (615-0220) and also to fund the new Agricultural Sector Loan project (615-0230). Late in FY 1984 and in FY 1985 commercial banks will begin making loans to qualifying rural private enterprises which are labor intensive, export-oriented, or demonstrate strong links to agriculture. Concurrently, technical assistance and training will be provided to commercial banks to expand their capacity to lend to rural private enterprises to improve the quality of their proposals and the effectiveness of their investments. Parallel to the commercial bank lending programs will be a program of grants to voluntary organizations to assist very small-scale enterprises and enterprise groups. Successful project implementation will lead to the creation of 7,000 new jobs directly and to 12,000 new jobs indirectly as well as to increased value-added in project-assisted and project-related businesses. The Agricultural Sector loan will finance needed fertilizer imports. In FY 1983 A.I.D. financed one-fifth of the required investment for a tannery project which will provide a market for quality Kenyan rawhides, earn foreign exchange, and create employment in rural private agribusiness in Kenya.

#### B. Population

In its past efforts in family planning, A.I.D. has learned that the public sector is limited in its capacity to implement expanded service delivery programs. Furthermore, the high value placed on large families is still very influential; there is little statistical evidence of progress in the use of effective family planning methods. Studies conducted by the Population Studies and Research Institute and the Government, assisted by A.I.D., have shown that people are relatively uninformed about family planning but that certain segments of the population, particularly urban residents, salaried employees, and older women with large families are likely to be relatively more receptive to education on family planning and more prepared to participate in programs. The U.S. contribution to Kenya's Integrated Rural Health and Family Planning program, funded by Family Planning II (615-0193), supports the staff development and programs in information and education of the newly formed National Council on Population and Development and the training in family planning of community health nurses and clinical officers assigned to rural areas.

A.I.D. actively assists the Government to plan delivery of basic services to the people of the country and is encouraging development of programs to relieve Government of certain costs, make public delivery systems more efficient and interest the private sector in managing and financing services. The Private Sector Family Planning project (615-0216), for which funding is provided in FY 1983 and 1984, will introduce or strengthen family planning services in private institutions with large numbers of employees (e.g. factories and plantations). Implemented by a resident team under agreement with John Snow, Inc. (Boston), an estimated 30 sub-projects and 5 field research projects will be underway within two years. The project will

## Kenya

reach both men and women thought to be receptive to family planning services. It will encourage greater private sector responsibility for family planning and related maternal and child care, and demonstrate partial or whole cost recovery through fees to clients and other financing mechanisms.

USAID actively facilitates more than twelve centrally-funded technical assistance and PVO activities in demographic studies, program evaluation, information and promotion materials, clinical skills, logistics systems, management training and other efforts. These directly complement USAID bilateral activities.

### C. Health

The Health Planning and Information project (615-0187) continues to assist the Ministry of Health and the Ministry of Finance and Planning to plan, manage and evaluate health sector policies and programs in order to expand rural health services. During the period of this project the budget for rural health services has increased from 39% to 43 % of funds devoted to development of health services. As a result of an FY 1983 evaluation the project has been extended through 1986, at no cost, to permit final development of the planning process, to assist in completion of the health sector portion of the Fifth Development Plan, and to develop an improved health statistics and information system.

### D. Housing Guaranty

A Housing Guaranty authorized in FY 1983, together with FY 1984 grant funds from the Private Sector Shelter Finance project (615-0225), will develop the capacity and determination of private developers and builders and housing cooperatives to provide affordable housing for lower income families. This project follows a study conceived and sponsored by A.I.D. and the United Nations Habitat in 1982 which demonstrated the positive interest of private sector builders in entering the low cost market if sufficient long-term financing could be made available.

## Requested Year Program (FY 1985)

### A. Agriculture, Rural Development and Nutrition

The FY 1985 program contains one new bilateral project. This project, Agricultural Technology (615-0229), will contribute to the A.I.D. strategy of increased rural production and income by assisting the GOK to strengthen its national research system. Food and agricultural technologies must be introduced for the specific agroclimatic, economic and social conditions faced by smallholders. For FY 1985, \$29,380,000 in ARDN Development Assistance funds is proposed to finance the project to transfer agricultural technology and train personnel required to improve planning and management in agriculture and in related rural enterprises. Also, \$620,000 will fund the balance of the Private Sector Shelter Finance project.

## Kenya

### B. Economic Support Funds

During FY 1985, \$55 million in Economic Support Funds will provide balance of payments and budget support to the Government of Kenya while promoting the structural changes needed to address the underlying problems of the economy. The continuing adjustments are likely to center on the privatization of grain marketing, the efficient administration and continued liberalization of trade procedures, and the priority ranking of public investment priorities. This second tranche of a three year program will enable Kenya to continue its program of structural adjustment while maintaining essential levels of imports and development expenditures. The program will cover certain costs of Kenyan policy reforms to adjust prices, increase competitiveness, improve Government efficiency, and expand exports. It will also finance imports of goods from the United States.

### C. P.L. 480

The P.L. 480 Title I program, which began in 1980 in response to a serious decline in cereal production, supplied \$15 million annually of wheat, maize and rice during 1980-1981. Two good harvests in 1981-1982 eliminated the need for maize imports; in the last two years wheat and rice have been included. Kenya has taken steps (increased producer prices, expanded credit, etc.) which resulted in surpluses of maize, beans and sorghum and expanded production of wheat. AID has used both Title I and ESF resources for purposes of policy dialogue. These overall discussions continue to focus on structural economic issues (exchange rate, interest rates, producer prices, input supplies, market regulation and the supply of support services for agriculture).

The proposed P.L. 480 Title I program of \$10 million will finance an estimated 57,100 MT of wheat and 8,000 MT of feedgrains in FY 1985. Kenya requires hard wheat, which the U.S. can readily supply, to combine with domestic soft wheats for use in bread products. Local currency generated from P.L. 480 Title I sales will finance mutually agreed upon programs in agricultural production and reforms in the structure of government participation in agriculture.

The P.L. 480 Title II program is implemented by Catholic Relief Services (CRS) to support maternal/child health, pre-school, institutional, and food for work programs for some 150,000 to 165,000 recipients. As a result of an audit and program review in 1983, major design changes and improved management of the program have occurred. The CRS Title II program is now more consistent with AID's development strategy and is focussed on nutritionally needy communities where there is potential for coordinated development activities.

A P.L. 480 Title II program of \$5.1 million for FY 1985 will continue educational and food programs for mothers and children assisting recipient families to improve their nutritional status. Program management improvements minimize costs and emphasize development activities.

MISSION DIRECTOR, Allison B. Herrick

SUMMARY OF ACTIVE AND PROPOSED PROJECTS  
(IN THOUSANDS OF DOLLARS)

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PROGRAM: KENYA

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PROJECT TITLE	* L PROJECT / NUMBER G	FY OF INITIAL OBLIG	FY OF FINAL OBLIG	TOTAL PROJECT COST AUTHD PLANNED	-THROUGH FY83- OBLIG EXPENDI ATIONS TURES	-ESTIMATED FY84- OBLIG EXPENDI ATIONS TURES	-PROPOSED FY85- OBLIG EXPENDI ATIONS TURES
AGRICULTURE, RURAL DEV. AND NUTRITION							
RURAL ROADS SYSTEMS	G 615-0168	77	80	1,748	1,748	1,443	305
RURAL ROADS SYSTEMS	L 615-0168	77	77	13,000	13,000	5,492	7,503
AGRICULTURAL SYSTEM SUPPORT PROJECT	G 615-0169	78	83	26,200	26,200	19,296	4,000
AGRICULTURAL SYSTEM SUPPORT PROJECT	L 615-0169	78	79	23,600	23,600	18,292	4,300
ARID AND SEMI-ARID LAND DEV (KITUI)	G 615-0172	79	83	13,000	13,000	4,376	2,500
DRYLANDS CROPPING SYSTEMS RESEARCH	G 615-0180	79	82	4,000	4,000	2,521	1,000
RURAL PLANNING II	G 615-0189	80	83	3,575	3,575	1,426	650
ON-FARM GRAIN STORAGE	L 615-0190	81	81	7,800	7,800	973	1,750
RURAL PRIVATE ENTERPRISE	G 615-0220	83	84	12,000	7,000	3,000	4,000
RURAL PRIVATE ENTERPRISE	L 615-0220	83	84	24,000	24,000	11,600	12,400
AGRICULTURAL SECTOR GRANT	G 615-0228	82	82	4,400	4,400	---	---
AGRICULTURAL TECHNOLOGY	* G 615-0229	85	86	---	35,000	---	---
AGRICULTURE SECTOR LOAN	L 615-0230	84	84	---	15,000	---	15,000
TOTAL FOR ACCOUNT							
GRANTS				133,323	178,323	111,923	53,819
LOANS				64,923	94,923	55,923	29,062
				68,400	83,400	56,000	24,757
						31,400	25,608
						4,000	9,955
						27,400	15,653
							29,380
							29,380
							---
							29,929
							3,129
							21,800
POPULATION PLANNING							
POPULATION STUDIES AND RESEARCH CENTER	G 615-0165	76	80	2,692	2,692	2,439	253
FAMILY PLANNING II	G 615-0193	82	82	4,000	4,000	---	1,300
FAMILY PLANNING MANAGEMENT PROGRAM (PVO)	G 615-0216	83	83	310	300	310	90

\* Refers to the planned project summary sheet

C Level of effort activity

FY of final obligation column - All projects in this column with an initial obligation date before December 31, 1983 are based on the authorized data. For all projects with an initial obligation date after December 31, 1983 the FY of final obligation is based on a planned date.

SUMMARY OF ACTIVE AND PROPOSED PROJECTS  
(IN THOUSANDS OF DOLLARS)

PAGE 22  
01/19/84

PROGRAM: KENYA

CP 85

PROJECT TITLE	* L PROJECT / NUMBER G	FY OF INITIAL OBLIG	FY OF FINAL OBLIG	TOTAL PROJECT COST AUTHD PLANNED		-THROUGH OBLIG ATIONS	FY83- EXPENDI TURES	-ESTIMATED OBLIG ATIONS	FY84- EXPENDI TURES	-PROPOSED OBLIG ATIONS	FY85- EXPENDI TURES
PRIVATE SECTOR FAMILY PLANNING	G 615-0223	83	84	4,500	4,500	2,200	---	2,300	1,000	---	1,500
TOTAL FOR ACCOUNT GRANTS LOANS				11,502	11,492	9,202	2,439	2,300	2,343	---	2,901
				---	---	---	---	---	---	---	---
HEALTH											
HEALTH PLANNING AND INFORMATION	G 615-0187	79	81	2,450	2,450	2,450	1,500	---	538	---	336
RURAL BLINDNESS PREVENTION II	G 615-0203	80	81	1,870	1,870	1,870	1,776	---	---	---	---
KITJI RURAL HEALTH	G 615-0206	82	82	4,893	4,893	4,893	---	---	---	---	---
KITJI RURAL HEALTH	L 615-0206	82	82	4,630	4,630	4,630	4	---	---	---	---
FAMILY PLANNING MANAGEMENT PROGRAM (PVO)	G 615-0216	83	83	310	300	390	80	---	90	---	102
KITJI PRIMARY HEALTH CARE II (PVO)	G 615-0219	83	83	500	500	500	85	---	225	---	165
TOTAL FOR ACCOUNT GRANTS LOANS				14,653	14,643	14,733	3,445	---	853	---	603
				10,023	10,013	10,103	3,441	---	853	---	603
				4,630	4,630	4,630	4	---	---	---	---
SELECTED DEVELOPMENT ACTIVITIES											
RENEWABLE ENERGY DEVELOPMENT	G 615-0205	80	81	4,800	4,800	4,800	1,245	---	3,555	---	---
SMALL BUSINESS DEVELOPMENT (OPG)	G 615-0208	82	82	500	500	500	259	---	241	---	---
SMALL TOWNS HG-TA	G 615-0212	31	36	665	945	665	191	---	281	---	159
PRIVATE SECTOR HOUSING FINANCE	G 615-0225	34	85	1,120	1,120	---	---	500	400	620	500
MASENO SO. ENTERPRISE DEVELOPMENT (OPG)	G 615-0226	82	82	500	500	500	125	---	200	---	175

\* Refers to the planned project summary sheet

C Level of effort activity

FY of final obligation column - All projects in this column with an initial obligation date before December 31, 1983 are based on the authorized data. For all projects with an initial obligation date after December 31, 1983 the FY of final obligation is based on a planned date.

SUMMARY OF ACTIVE AND PROPOSED PROJECTS  
(IN THOUSANDS OF DOLLARS)

PAGE 23  
01/19/84

PROGRAM: KENYA

CP 85

PROJECT TITLE	* L PROJECT / NUMBER G	FY OF INITIAL OBLIG	FY OF FINAL OBLIG	TOTAL PROJECT COST AUTHD PLANNED	-THROUGH OBLIG ATIONS	FY83- EXPENDI TURES	-ESTIMATED OBLIG ATIONS	FY84- EXPENDI TURES	-PROPOSED OBLIG ATIONS	FY85- EXPENDI TURES	
TOTAL FOR ACCOUNT GRANTS				7,585	7,865	6,465	1,820	500	4,677	620	834
LOANS				7,585	7,865	6,465	1,820	500	4,677	620	834
				---	---	---	---	---	---	---	---
ECONOMIC SUPPORT FUND											
COMMODITY IMPORT PROGRAM	G 615-0200	80	80	20,000	20,000	20,000	19,827	---	---	---	---
STRUCTURAL ADJUSTMENT PROGRAM GRANT	G 615-0213	83	85	30,000	125,000	30,000	28,000	40,000	43,900	55,000	45,000
TOTAL FOR ACCOUNT GRANTS				50,000	145,000	50,000	47,827	40,000	43,900	55,000	45,000
LOANS				50,000	145,000	50,000	47,827	40,000	43,900	55,000	45,000
				---	---	---	---	---	---	---	---
TOTAL FOR COUNTRY GRANTS				217,063	357,323	192,323	109,350	74,200 <sup>1/</sup>	77,381	85,000	79,267
LOANS				144,033	269,293	131,693	84,589	46,800	61,728	85,000	57,467
				73,030	88,030	60,630	24,761	27,400	15,653	---	21,800

<sup>1/</sup> FY 1984 total excludes \$148 thousand which has already been notified for deobligation and has not been identified for reobligation by project.

<sup>1/</sup> Refers to the planned project summary sheet

<sup>C</sup> Level of effort activity

FY of final obligation column - All projects in this column with an initial obligation date before December 31, 1983 are based on the authorized date. For all projects with an initial obligation date after December 31, 1983 the FY of final obligation is based on a planned date.

PROGRAM: Kenya

## PLANNED PROGRAM SUMMARY SHEET

Title		Funding Source	AG, RD & N	Health	PROPOSED OBLIGATION (In thousands of dollars)			
Agricultural Technology			29,380		FY 1985 29,380	Life of Project Funding 35,000		
Number	615-0229	<input checked="" type="checkbox"/> NEW	Population	ED. & HR	Sel. Act.	Initial Obligation	Estimated Final Obligation	Estimated Completion Date of Project
<input checked="" type="checkbox"/> GRANT	<input type="checkbox"/> LOAN	<input type="checkbox"/> CONTINUING				FY 1985	FY 1986	FY 1991

Purpose: To assist Kenya to establish research priorities in agriculture; to rehabilitate and expedite the most important research efforts, especially in key food crops; to adapt on-station research results to actual microclimates and farm situations and complete the translation of research findings to increase production on farms within the shortest possible time.

Project Description: Development of new agricultural technology in Kenya has in the past been directed principally at the large commercial farms rather than the smallholders, especially those who are in increasing numbers attempting to farm marginal, semi-arid lands. Research recommendations have tended to ignore the economic and social conditions of the majority of Kenyan farmers - many of whom are women.

A host of problems must be addressed: poor management of agricultural research programs and facilities; an inability to get research results off the research stations and onto the farm plots for adaptive trials; a continuing lack of trained research personnel and employment of those who have been trained in administration or other fields; inadequate research equipment; inadequate budgets; inadequate communication between researchers; and the need better to train and motivate extension agents.

This project will focus its attention on a limited number of the most important research priorities of the country such as better yielding, drought-resistant corn, more palatable varieties of sorghum, improved dryland intercropping techniques, better adapted animal traction and other low cost farm implements, and the raising of livestock in mixed farming situations. The emphasis will be on delivering suitable technologies to the farm rather than on pure research. Activities of the project will be carefully selected to fit with the World Bank assisted extension system now being introduced in many parts of Kenya.

The principal outputs of the project will be: (1) priorities set for the most important types of agricultural research;

(2) an improved focus of government and donor resources on a limited number of priorities; (3) research stations upgraded and managed more effectively; (4) on-farm test results being fed back to the researchers for adaptation; (5) extension agents (both men and women) and local field officers of the related ministries trained in better communication with farmers and improved identification of their needs.

AID-financed interventions will include start-up support for revitalizing selected research institutions (technical assistance, in-country training, commodities, some local-cost support), senior policy advisory services, commodity support, strengthened ties with researchers and appropriate technology experts in other developing countries.

Relationship of Project to A.I.D. Strategy: A principal component of A.I.D. strategy in Kenya is increasing the production and incomes of smallholders. The development and dissemination of improved, better adapted technology, is intended to increase total on-farm production significantly, especially in the semi-arid areas where little if any technology has been introduced or utilized in the past.

Host Country and Other Donors: The project will be implemented primarily through the ministries responsible for crop and livestock research and coordinated with the local District administrations. There will be close coordination with the World Bank program, FAO programs in marketing, storage and research, and with the international research institutes and private foundations involved in similar efforts elsewhere in the developing world. Five international institutes are now operating in Kenya.

Beneficiaries: Over the long term the beneficiaries will include virtually all of Kenya's two million farming households. Principal beneficiaries over the term of the project will be farm families in selected areas of semi-arid Kenya.

AFR/DR: STANDARD LOAN/GRANT - FUNDED PROJECT  
FILE FORMAT

EXHIBIT IIA

## FRONT OF FILE

- A. PROJECT DEVELOPMENT SECTION: (Includes Feasibility Studies, Market Surveys and other Pre-PID Documents)
- B. CORE DOCUMENTS SECTION
1. PID/PID Revision & PID Approval Document
  2. PRP/PRP Revision (Pre-1978 Projects Only)
  3. PP/PP Amendment
  4. Project Authorization/Amended Authorization (includes waivers)
  5. Grant Agreement/Grant Agreement Amendment
  6. Loan Agreement/Loan Agreement Amendment
- C. CORRESPONDENCE SECTION
1. Cables Incoming
  2. Cables Outgoing
  3. Correspondence General (Letters, Memos, etc.)
  4. Financing Requests
- D. CP's & IMPLEMENTATION LETTER SECTION
1. Conditions Precedent to Disbursement (Documents submitted pursuant to Grant/Loan Agreement Requirements)
  2. Implementation Letters
- E. DISBURSING AUTHORIZATION SECTION (File each D.A. separately)
1. Project Implementation Order/Technicians (PIO/T)
  2. Project Implementation Order/Commodities (PIO/C)
  3. Project Implementation Order/Participants (PIO/P)
  4. Letter of Commitment (L/COM)
  5. Procurement Authorization and U.S. Government Agency Purchase Requisition (PA/PR)
  6. Direct Reimbursement Approval (DRA)
  7. Excess Property Letter Order/Purchase Order
- F. CONTRACTS SECTION (Separate file for each contract)
- G. REPORTS SECTION
1. Reports General
  2. Contractor Reports
  3. Audit Reports

APPENDIX F

MON, MAY 6, 1985

AID-DIHF / DEVELOPMENT INFORMATION SYSTEM

PAGE 6

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*****
6150189 Kenya
RURAL PLANNING II
FY 80 - 85 Status: A Total LOP Cost (x000): $ 3575
Loan or Grant / Appropriation Code / LOP Cost: G / FN / 3575
*****
    
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<<< DEVELOPMENT PROBLEM >>>

Development projects initiated at the national level in Kenya have not satisfied the individual needs inherent at the district level. To remedy this situation, the Ministry of Economic Planning and Development (MEPD), with A.I.D.'s help, initiated a program to decentralize development planning and implementation. The MEPD is now in need of further technical and financial assistance to assist in implementing district plans, training, and decentralization of decisionmaking.

<<< STRATEGY >>>

Four-year project consists of a grant to the Government of Kenya to provide technical assistance and training to improve the abilities of district level officers and ministerial officials to implement a system which will allow greater local input in national level development decisionmaking. Host country will provide institutional support.

<<< LOGICAL FRAMEWORK >>>

**GOAL:** Establish a planning system in which district planning constitutes an integral part of the national planning process.

**PURPOSE:** Develop, within the Ministry of Economic Planning and Development, and at the district level, an improved capability to involve rural people in planning and implementing rural development activities in their district.

**OUTPUTS:** 1. District plans modified/updated/implemented. 2. District level plan monitoring procedures designed/implemented. 3. Small project identification/evaluation system designed, strategies formulated for 1984-88 plan period. 4. System established to automatically provide districts with disaggregated expenditure and information for high rural impact ministries/programs. 5. Current fiscal procedures and decisionmaking process mapped, implementation of a strategy initiated for selected fiscal devolution to districts in one or more high rural impact ministries. 6. District Planning Officer cadre launched, skills of the Regional Planning Division and district staffs upgraded.

**INPUTS:** 1. Long-term U.S. advisory service to the Ministry of Economic Planning and Development. 2. Short-term U.S. consultant services. 3. Planning assistance to districts. 4. Training: A. Long-term, overseas. B. Long-term, in-country. C. Short-term, in-country. 5. Evaluation consultant services. 6. Administrative support services.

<<< ABSTRACT >>>

Grant is provided to the Government of Kenya (GOK) to improve the capability of the Ministry of Economic Planning and Development (MEPD) to involve rural Kenyans in planning and implementing development activities in their districts. MEPD will implement the project with long-term consultant

assistance.

Project consists of three components. First, 40 district plans developed under A.I.D.'s Rural Planning I project will be implemented, as follows: costs will be updated to reflect recent GOK budget revisions, and these changes will be transmitted to district officers; procedures to clarify district-level responsibilities for plan implementation will be developed; criteria will be devised to help district officers identify and evaluate small projects so as to recognize gaps between district needs and funding; and strategies will be designed for the 1984-88 period.

Training will be provided to GOK and non-governmental district planners. Short-term "learning-by-doing" training workshops and seminars will be taught by experienced Kenyans and expatriate tutors; and rural planning extension officers will carry out field work with district development and planning officers. Master's degree training will be offered abroad to 12 rural planning division officers and selected district officers. Also, eight Kenyans will receive a B. Phil. degree and four will receive a Masters degree at the University of Nairobi. A total of 160 Kenyans will attend 3-month classes at the Kenyan Institute of Administration, and 900 will attend 3-day seminars offered by the Rural Service Coordinating and Training Unit.

Rural development decision-making will be decentralized. Existing budgetary process and supporting fiscal information of GOK ministries with high rural impact will be mapped, and the financial information flow for programs of these ministries will be expanded to permit input from the districts. Increased financial information will be conveyed to the districts on a regular basis. Finally, appropriate ministry programs (including, where possible, GOK accounting, auditing and such procedures) will be transferred to the district level.

(SOURCE: PD-AAG-054-A1)

<<< DOCUMENTS RELATED TO PROJECT 6150189 >>>

PD-AAG-054-A1 Project Paper (PP) RURAL PLANNING II PROJECT 22 AUG 1980, 65P+ANX	[SN=17237]
-----	
XO-AAP-210-A Special Evaluation Report Rural planning project, phase II Oct 1983, iv, 42p. + 5 annexes	[SN=34591]
-----	
PD-AAP-210 Project Evaluation Summary (PES) Rural planning II project 2 Apr 1984, 1p. + attachment	[SN=34590]

## APPENDIX G

### PROGRAM EVALUATION DISCUSSION PAPERS

<u>PN#</u>	<u>PAPER #/TITLE (Pages)</u>
PN-AAG-685	1. Reaching the Rural Poor: Indigenous Health Practitioners are There Already; March 1979 (63)
PN-AAG-670	2. New Directions Rural Roads; March 1979 (80)
PN-AAG-671	3. Rural Electrification: Linkages and Justifications; April 1979 (84)
PN-AAG-691	4. Policy Directions for Rural Water Supply in Developing Countries; April 1979 (53)
PN-AAG-672	5. Study of Family Planning Effectiveness; April 1979 (27)
PN-AAG-922	6. The Sociology of Pastoralism and African Livestock Projects; May 1979 (114)
PN-AAJ-135	7. Socio-Economic and Environmental Impacts of Low Volume Rural Roads: A Review of the Literature; February 1980 (182)
PN-AAH-725	8. Assessing the Impact of Development Projects on Women; May 1980 (113)
PN-AAJ-208	9. The Impact of Irrigation on Development: Issues for a Comprehensive Evaluation Study; October 1980 (85)
PN-AAJ-174	10. A Review of Issues in Nutrition Program Evaluation; July 1981 (234)
PN-AAJ-611	11. Effective Institution Building: A Guide for Project Designers and Project Managers Based on Lessons Learned from the AID Portfolio; March 1982 (101)
PN-AAJ-612	12. Turning Private Voluntary Organizations into Development Agencies: Questions for Evaluation; April 1982 (104)
PN-AAJ-613	13. AID Experience In Agricultural Research: a Review of Project Evaluations; May 1982 (272)
PN-AAJ-618	14. Private Sector: Ideas and Opportunities: a Review of Basic Concepts and Selected Experience; June 1982 (134)
PN-AAL-003	15. Food AID and Development: the Impact and Effectiveness of Bilateral PL 480 Title I - Type Assistance; December 1982 (94)
PN-AAL-007	16. The Private Sector, the Public Sector, and Donor Assistance in Economic Development: an Interpretive Essay; March 1983 (65)
PN-AAL-026	17. A.I.D. Assistance to Local Government: Experience and Issues; November 1983 (129)
PN-AAL-024	18. Free Zones in Developing Countries: Expanding Opportunities for the Private Sector; November 1983 (81)
PN-AAL-030	19. Comparative Analysis of Five PL 480 Title I Impact Evaluations Studies; December 1983 (95)
PN-AAL-031	20. Comparative Analysis of Policies and Other Factors Which Affect the Role of the Private Sector in Economic Development; December 1983 (100)

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PROGRAM EVALUATION REPORTS

<u>PN#</u>	<u>REPORT #/TITLE (Pages)</u>
PN-AAN-196	1. <u>Family Planning</u> Program Effectiveness: Report of a Workshop; December 1979 (273)
PN-AAH-425	2. AID's Role in Indonesian <u>Family Planning</u> : a Case Study with General Lessons for Foreign Assistance: December 1979 (87)
PN-AAH-006	3. Third Evaluation of the Thailand National <u>Family Planning</u> Program; February 1980 (119)
PN-AAH-238	4. The Workshop on Pastoralism and African <u>Livestock Development</u> ; June 1980 (87)
PN-AAJ-607	5. <u>Rural Roads</u> Evaluation Summary Report; March 1982 (168)
PN-AAJ-622	6. PL 480 Title II: A Study of the Impact of a Food Assistance Program In The Philippines; August 1982 (182)
PN-AAJ-624	7. <u>Community Water Supply</u> in Developing Countries: Lessons From Experience; September 1982 (101)
PN-AAL-019	8. <u>Irrigation &amp; AID's Experience</u> : a Consideration Based on Evaluations (263)
PN-AAJ-605	9. (Classified info) N/A
PN-AAL-020	10. Strengthening the <u>Agricultural Research</u> Capacity of the Less Developed Countries: <u>Lessons From AID Experience</u> (264)
PN-AAL-027	11. Power to the People: <u>Rural Electrification Sector</u> : Summary Report (165)
PN-AAL-034	12. A.I.D. and <u>Education</u> : a Sector Report on Lessons Learned; January 1984 (180)

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PROJECT IMPACT EVALUATIONS

<u>PN#</u>	<u>REPORT #/TITLE (Pages)</u>
PN-AAH-768	1. Colombia: Small Farmer Market Access; December 1979 (49)
PN-AAH-723	2. Kitale Maize: The Limits of Success; May 1980 (69)
PN-AAH-850	3. The Potable Water Project in Rural Thailand; May 1980 (83)
PN-AAH-749	4. Philippine Small Scale Irrigation; May 1980 (69)
PN-AAH-724	5. Kenya Rural Water Supply: Programs, Progress, Prospects; June 1980 (48)
PN-AAH-750	6. Impact of Rural Roads in Liberia; June 1980 (64)
PN-AAH-751	7. Effectiveness and Impact of the CARE/Sierra Leone Rural Penetration Roads Projects; June 1980 (115)
PN-AAH-851	8. Morocco: Food Aid and Nutrition Education; August 1980 (66)
PN-AAJ-008	9. Senegal: The Sine Saloum Rural Health Care Project; October 1980 (96)
PN-AAJ-207	10. Tunisia: CARE Water Projects; October 1980 (62)
PN-AAJ-199	11. Jamaica Feeder Roads: An Evaluation; November 1980 (101)
PN-AAH-975	12. Korean Irrigation; December 1980 (92)
PN-AAH-970	13. Rural Roads in Thailand; December 1980 (46)
PN-AAH-977	14. Central America: Small-Farmer Cropping Systems; December 1980 (110)
PN-AAH-976	15. The Philippines: Rural Electrification; December 1980 (94)
PN-AAH-978	16. Bolivia: Rural Electrification; December 1980 (55)
PN-AAH-971	17. Honduras Rural Roads: Old Directions and New; January 1981 (55)
PN-AAH-973	18. Philippines: Rural Roads I and II; March 1981 (72)
PN-AAJ-168	19. U.S. Aid to Education in Nepal: A 20-Year Beginning; May 1981 (90)
PN-AAJ-170	20. Korean Potable Water System Project: Lessons from Experience; May 1981 (100)
PN-AAH-979	21. Ecuador: Rural Electrification; June 1981 (67)
PN-AAJ-175	22. The Product is Progress: Rural Electrification in Costa Rica; October 1981 (86)
PN-AAJ-173	23. Northern Nigeria Teacher Education Project; September 1981 (52)
PN-AAJ-176	24. Peru: CARE OPG Water Health Services Project; October 1981 (56)
PN-AAJ-171	25. Thailand: Rural Nonformal Education - The Mobile Trade Training School; October 1981 (44)
PN-AAH-972	26. Kenya: Rural Roads; January 1982 (80)

- PN-AAJ-606 27. Korean Agriculture Research: The Integration of Research and Extension; January 1982 (113)
- PN-AAJ-179 28. Philippines: BICOL Integrated Area Development; January 1982 (117)
- PN-AAJ-608 29. Sederhanna: Indonesia Small-Scale Irrigation; February 1982 (73)
- PN-AAJ-178 30. Guatemala: Development of the Institute of Agricultural Science and Technology (ICTA) and its Impact on Agricultural Research and Farm Productivity; February 1982 (56)
- PN-AAJ-610 31. Sudan: The Rahad Irrigation Project; March 1982 (131)
- PN-AAJ-609 32. Panama: Rural Water; May 1982 (84)
- PN-AAJ-614 33. Food Grain Technology: Agricultural Research in Nepal; May 1982 (93)
- PN-AAJ-615 34. Agricultural Research In Northeastern Thailand; May 1982 (87)
- PN-AAJ-617 35. The On-Farm Water Management Project In Pakistan; June 1982 (114)
- PN-AAJ-621 36. Korea Health Demonstration Project; July 1982 (139)
- PN-AAJ-620 37. Radio Correspondence Education in Kenya; August 1982 (123)
- PN-AAL-001 38. A Low-Cost Alternative For Universal Primary Education In The Philippines; September 1982 (96)
- PN-AAJ-623 39. Sri Lanka: The Impact of PL 480 Title I Food Assistance; October 1982 (186)
- PN-AAL-002 40. Assisting Small Business in Francophone Africa: The Entente Fund African Enterprises Program; December 1982 (192)
- PN-AAL-008 41. Housing Guaranty Programs in Panama; March 1983 (139)
- PN-AAL-010 42. Bangladesh Small-Scale Irrigation; April 1983 (63)
- PN-AAL-011 43. Egypt: The Egyptian American Rural Improvement Service, A Point Four Project, 1952-63; April 1983 (164)
- PN-AAL-012 44. West Africa Rice Research and Development; May 1983 (151)
- PN-AAL-015 45. PL 480 Title I: The Egyptian Case (132)
- PN-AAL-017 46. USAID to Education in Paraguay: the Rural Education Development Project (129)
- PN-AAL-021 47. Impact of PL 480 Title I in Peru: Food AID as an effective Development Resource (184)
- PN-AAL-022 48. Tunisia: the Wheat Development Program (228)
- PN-AAL-025 49. Haiti: Hacho Rural Community Development (123)
- PN-AAL-029 50. On - Farm Water Management in Aegean Turkey, 1968-1974; December 1983 (62)
- PN-AAL-035 51. Jamaica: the Impact and Effectiveness of the PL 480 Title I Program; (218) February 1984
- PN-AAL-036 52. Korea Agricultural Services: The Invisible Hand in the Iron Glove. Market and Non-market Forces in Korean Rural Development

## SPECIAL STUDIES

<u>PN#</u>	<u>REPORT #/TITLE (Pages)</u>
PN-AAH-747	1. The Socio-Economic Context of Fuelwood Use in Small Rural Communities; August 1980 (321)
PN-AAJ-007	2. Water Supply and Diarrhea: Guatemala Revisited; August 1980 (50)
PN-AAH-974	3. Rural Water Projects in Tanzania: Technical, Social and Administrative Issues; November 1980 (32)
PN-AAJ-172	4. The Social Impact of Agribusiness: A Case Study of ALCOSA in Guatemala; July 1981 (102)
PN-AAJ-169	5. Korea Elementary-Middle School Pilot Project; October 1981 (95)
PN-AAJ-177	6. The Economic Development of Korea: Sui Generis or Generic?; January 1982 (50)
PN-AAJ-616	7. THE VICOS EXPERIMENT: A Study of the Impacts of the Cornell-Peru Project in a Highland Community; April 1982 (108)
PN-AAJ-619	8. Toward A Health Project Evaluation Framework; June 1982 (50)
PN-AAL-005	9. PRIVATE SECTOR: Costa Rica; March 1983 (126)
PN-AAL-004	10. PRIVATE SECTOR: The Tortoise Walk: Public Policy and Private Activity In the Economic Development of Cameroon; March 1983 (168)
PN-AAL-006	11. The Private Sector and the Economic Development of Malawi; March 1983 (125)
PN-AAL-009	12. Ventures in the Informal Sector, and How They Worked Out in Brazil; March 1983 (193)
PN-AAL-013	13. The Evaluation of Small Enterprise Programs and Projects: Issues in Business and Community Development; June 1983 (74)
PN-AAL-014	14. Private Sector: the Regulation of Rural Markets in Africa; June 1983 (67)
PN-AAL-016	15. The Private Sector: Ethnicity, Individual Initiative, and Economics Growth In an African Plural Society: the Barnileke of Cameroon; June 1983 (83)
PN-AAL-018	16. Private Sector: The Dominican Republic; June 1983 (146)
PN-AAL-023	17. Local Government Trends and Performance: Assessment of A.I.D.'s Involvement in Latin America; November 1983 (48)
PN-AAL-028	18. The Helmand Valley Project in Afghanistan; December 1983 (68)
PN-AAL-033	19. CAPITALIZING WORKERS: the Impact of Employee Stock Ownership Plans in Selected Developing Countries; January 1984 (185)
PN-AAL-037	20. Prospects for Primary Health Care In Africa Another Look At The Sine Saloum Rural Health Project in Senegal. April 1984

PROGRAM DESIGN AND EVALUATION METHODS

<u>PN#</u>	<u>TITLE (Pages)</u>
PN-AAH-434	Manager's Guide to Data Collection; November 1979 (100)
PN-AAJ-165	La Collecte des Donnees: Guide Destine aux Gestionnaires; Novembre 1979 (117)
PN-AAJ-166	Recoleccion de Datos: Guia Para Administradores; Noviembre de 1979 (192)
PN-AAJ-167	Directory of Central Evaluation Authorities; April 1981 (Distribution restricted to official agencies) (116)
PN-AAL-032	Selection and Justification Procedures for Rural Roads Improvement; January 1984 (58)

**OVERVIEW AND ASSESSMENT OF POTABLE WATER EVALUATIONS**

Our analysis of potable water projects indicates that success tends to correlate with the following mutually reinforcing factors: reliability, user benefits, affordability, capability and equity.

The following are brief rationales explaining why each of these factors is critical to the success of potable water projects, and a list of key questions.

Reliability:

It is estimated that 35% to 50% of rural water taps are out of order three to five years after they are installed, largely because of inadequate operation and maintenance. Communities won't pay for or maintain unreliable water systems and they tend to be abandoned.

1. How many months a year do the water systems work? Is the supply adequate?
2. Are systems broken during the wet (low demand, no scarcity) season, or dry?
3. Are water systems still working three to five years after installation?
4. What type of system, using what source of supply, serves how many people in dispersed or concentrated communities? Describe topography and rainfall.
5. How available are water system equipment, materials, spare parts and fuel?
6. Is there adequate, affordable transport? How many months are roads usable?

User benefits:

"Those systems that provided water as direct inputs to agricultural or non-agricultural processes (crafts or cattle), and those that saved substantial amounts of time, were perceived by users to provide most obvious benefits. Systems that were built to fulfill AID's perceived need to provide only better quality water were not valued and did not survive." Community Water Supply in Developing Countries: Lessons from Experience, AID Evaluation Office.

1. Who are the primary water users and what are their priority needs?
2. What was the role of women in needs-assessment, site location, identification of constraints and description of expected benefits?
3. What are community perceptions regarding health improvements believed to be caused or strongly influenced by improved water quality or quantity?
4. Does the community perceive that income-producing activities such as agriculture, cattle-raising or crafts benefitted from the water project?

(continued)

Overview and Assessment of Potable Water Evaluations, continued...

"User Benefits," (continued)

5. Is there a perception that improved water supply caused or contributed significantly to children's learning ability or general health?
6. Does the time women save because the water supply is more convenient result in more earnings or opportunities for learning or participation?

Affordability:

Host countries tend to be unable or unwilling to pay recurring and replacement O & M costs. Community water users are then required to pay these costs, with or without some type(s) of (cross)subsidy. When capital costs per unit are too high, community users tend to believe expenses outweigh perceived benefits and revert to previous sources. Potential replicability also decreases.

1. Do water users pay the full O & M costs? How are fees set and collected?
2. What type and level of subsidies, assessed how, pay what portion of costs?
3. Is there individually metered, piped water, or communal taps?
4. Is there a local financial institution to make short-term O&M loans?
5. What is the estimated cost of providing water per capita or per family?
6. Does the community have a realistic plan for generating sufficient funds to cover recurring costs? What about replacement and expansion costs?
7. What is the estimated cost of labor, fuel, materials and T.A. consultants?
- 7 8. Will the host country use foreign reserves to import water necessities?

Capability:

Water projects should have capable local financial and technical institutions with sufficient, competent personnel to oversee construction and provide T.A. to community water users' associations responsible for ongoing O & M.

1. What training is provided for engineers, training specialists, management and administrative staff and skilled labor re: installation and O & M?
2. Are users taught whom to notify about malfunctions, conservation measures, potential health hazards and care of pump mechanisms and valves?
3. Does the national plan concentrate on hardware and construction to the exclusion or detriment of pre-project or post-construction phases?

(continued)

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"Capability:" (continued)

4. Are systems managed by a community water users' association or group?
5. Can these groups set adequate and acceptable fees, collect, record and locally bank them and accommodate changing conditions and concerns?
6. What roles, responsibilities and relative influence do women have in these groups or associations?
7. Can local institutions provide adequate, reliable support services?

Equity:

Equitable distribution of benefits is more likely to occur where there is substantial community involvement in planning and implementing the water system. Inequitable distribution can be divisive and promote vandalism.

1. Does the system use block rate pricing, with low charges for basic needs and incremental price increases for additional consumption and amenities?
2. Is there a pattern of decreasing reliability, quantity and convenience as population concentration or political influence diminish?
3. Does the distribution of water benefit elites in ways which foster divisive resentments or hostilities within the community?
4. Is anyone excluded from water benefits? On what basis?
5. Does there appear to be a pattern of deliberately providing poor service to communal taps to pressure users to accept individual metered connection?
6. When meters are shared, what fee structure is used and how determined?
7. What provisions are made for those who refused to participate or arrived later?

We recommend that these critical factor categories and key questions serve as the primary focus of subsequent evaluations of potable water projects.

Where feasible and appropriate, we also recommend their use by project planners, designers, project managers and people monitoring potable water projects.

We have appended to this document a matrix which displays data contained in the potable water project impact evaluations. It contains the five categories of critical factors described earlier, key questions, and corresponding data from each project. The reader can identify gaps in relevant information by noting

*We should have done a lot of work on this.*

(continued)

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"Critical Factors, Key Questions," (continued)

the extent to which the questions in each category are answered satisfactorily by the project data displayed.

This approach could also be very useful as a means of disseminating the sectoral project experience of AID and other development agencies. It would be more concise, focused and cost-effective than disseminating full evaluations and, in most cases, would contain sufficient data to fill the needs of those seeking background information. Each matrix should also contain the amount (dollars) allocated by AID, by the host country, and by any other donors. A very brief statement of the project's rationale should also be included.

The following are recommendations, observations, impressions and questions which resulted from reading and reflecting on these potable water evaluations. They are not presented in order of relative importance.

1. The Executive Statements tend to be focused and concise, largely be reason of their brevity. However, information assessing critical factors tends to be spread throughout the document and difficult to find.
2. Affordability of potable water systems is a key aspect of feasibility and viability. However, per-capita or family water fees and related costs are not presented (in most cases) as a share of average earnings. This makes it difficult to place isolated cost figures within a context of relative affordability.
3. In how many cases was the participation of women in water system needs-assessment and planning instrumental in expanding their role in community development activities? This is mentioned as a desirable spin-off, but we don't know the frequency, or level of expanded participation, if it actually does result.
4. It appears that the time women save when water becomes more conveniently available does not result in increased income unless their skills and market outlets were already established. In that case, income can be increased but apparently not created.
5. More information is presented on the priorities of community water users than on relevant patterns. For example, closed well sites are vandalized, which renders them contaminated and/or dysfunctional. One possible explanation is that several people can use ropes and buckets simultaneously at shallow wells, but pumps provide water only on an individual basis. Perhaps the vandalism is a reaction against waiting or a belief that covering wells restricts water availability in some other way.

Potable Water: AID Policy-maker's Summary, continued...

Overview and Assessment of Potable Water Evaluations, continued...

6. These evaluations don't contain guidance regarding urban systems. There are passing references that urban systems aren't participatory because installation, O & M and funding are done by municipal governments which tend to function adequately. The rationale for focusing exclusively on rural areas is not stated clearly and gives the impression that AID's urban experience has been relatively problem free.
7. It would be helpful to know the terms of access and relative fee structure when water meters are shared. This would help focus both affordability and equity concerns.
8. What are the equity implications of giving preferred access to resources to communities who are relative elites by reason of being better organized, more motivated or having higher income levels? Is this competition absolute or are resources also allocated for relative, incremental achievements?
9. It appears clear that adequate amounts of water contribute to better health. Is there any data about whether this measurement also has significant impact on changing attitudes and behavior regarding sanitation?
10. Some successful community co-ops and other income-generating groups refused to participate in water projects. Since these groups are motivated and convinced of the value of collaborative problem-solving, why did they opt out?
11. The evaluations describe several situations in which implementing or support organizations which were competent were replaced by others with dubious or deficient capabilities. Many other examples of endangered project viability due to apparently inept support institutions were explained. However, no effort seems to be made to assess the relative level of operational competence of institutions whose performance can be critical to project success.
12. It appears that common procedural errors and oversights could be anticipated and somewhat reduced by making a procurement checklist mandatory for project planning and approval.
13. AID's project responsibilities tend to be described in a vague and apparently overlapping manner which tends to obscure accountability. Respective roles and responsibilities of AID and other participating organizations should be more clearly delineated and assessed.

Overview and Assessment of Potable Water Evaluations, continued...

14. Actual on-site project assessment time appears to be very brief, especially when round-trip and in-country travel time is subtracted. This creates an apparent risk of trying to do too much assessment and observation in a restricted time. One reason mentioned in an evaluation is that AID tends to send high-ranking personnel whose opportunity costs are high. It may be productive to reconsider the cost-effectiveness of this approach. Lower level yet competent staff could do the field work with AID officials shaping the terms of reference and interpreting the resultant data.
15. One evaluation names the AID mission directors, project manager and financial officer "responsible" for the project. This could contribute to accountability if they planned and initiated the project grant. However, it would be unfair to make them appear responsible if those actions were taken by their predecessors.
16. Frequent use of terms such as, "some," "few," and "many," don't give an adequate sense of relative proportion, frequency or importance. Even in the absence of reliable hard data, it would appear that more exact language could have been substituted.
17. One case is mentioned in which an AID official requested project information from CARE and was refused. What are the ramifications of that situation on AID's working relationship with CARE? It is difficult to put that situation in perspective.  
*Suggest  
omit this  
name of the  
organization!*
18. It appears that AID-funded water quality testing equipment is not used on potable water evaluations although water "safety" is much discussed.
19. In the case of Peru, the technology, design and engineering skills appear to have been in place for over a decade. Success could be anticipated under those conditions. The project rationale appears somewhat unclear since Peru was financially unable to replicate these systems and had mastered all necessary skills.
20. Very little data is presented on social soundness or ecological impacts.