



ADS Chapter 540

USAID Development Experience Information and Reference Services

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*This chapter has been revised in its entirety. Please note that after this chapter was released November 16, 2005, a citation to a CFR was corrected in section 540.3.2.13 of this chapter. The correct citation can be found in this version of the chapter.

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ADS 540 - USAID Development Experience Information and Reference Services

This chapter has been rewritten to conform to the purpose of the Automated Directives System (ADS) which is “...to help Agency employees understand their responsibilities ... consistent with applicable rules, sound policy principles, and management practices.” Further discussion on the purpose of the Automated Directives System can be found in [ADS 501](#). Previous editions of ADS 540, incorrectly instructed non-USAID employees, i.e., Agency contractors and grantees, on the required procedures of submitting development experience documents to the Development Experience Clearinghouse (DEC), the repository of USAID’s institutional memory. Consequently, the revised chapter no longer contains the unfortunate instructions.

Two policy directives issued within the past 18 months constitute the bases for the revisions contained in this chapter. The changes are conforming in nature because they comply with existing USAID policy as described in [The ADS Process, Part II, Section E, Editorial Changes, Conforming Amendments](#).

The first, [AAPD 04-06](#) (Acquisition & Assistance Policy Directive), *Submission of Development Experience Documents*, notifies Contracting Officers (COs) and Agreement Officers (AOs) of revised contract and assistance clauses including instructions to contractors and grantees (recipients) of the requirements for submission of development experience documents to the DEC.

The second policy directive, [AAPD 04-10](#), *Standardized Model Letters for Designating the Cognizant Technical Officer (CTO) for Contracts, Grants, and Cooperative Agreements*, requires COs and AOs to use the appropriate standardized Model Letter when designating a CTO to carry out the administrative duties of a contract, grant, or cooperative agreement.

The incorporation of pertinent information contained in the two policy directives into revised ADS 540 neither increases the responsibilities of a CTO nor entails a higher level of effort on his/her part. Rather, ADS 540 provides helpful guidance as a CTO monitors the terms and conditions of a contract, grant, or cooperative agreement, specifically the procedures related to submitting development experience documents to the DEC. The Model (sample) CTO designation letters are included in the policy directive as

- [AAPD 04-10 Attachment 1](#), *Cognizant Technical Officer Designation – Contract/Task Order Administration*
- [AAPD 04-10 Attachment 2](#), *Cognizant Technical Officer (CTO) Designation – Grant Administration*
- [AAPD 04-10 Attachment 3](#), *Cognizant Technical Officer (CTO) Designation – Cooperative Agreement Administration*

Attachment 1 provides for the designation of a Task Order CTO. When a contract, usually an indefinite-quantity contract (IQC), expects to issue multiple task orders awards, the CTO may wish to discuss the Task Order CTO option with the Office of Acquisition and Assistance (M/OAA). The appointment of a Task Order CTO is supported by [CIB 98-21](#), *Contractor Progress Reports – new AIDAR coverage*, which provides a broader definition of the term “contract,” authorizing a task order or delivery order to be interpreted as a contract.

For the sections relating to the role of Agency Operating Units, editorial changes only have been made, e.g., reordering of existing material.

540.1 OVERVIEW

Effective Date: 03/06/1995

Development experience is the cumulative knowledge derived from the planning, design, implementation, evaluation, and results of international **development assistance** programs. The repository for USAID's cumulative knowledge is the Development Experience Clearinghouse (DEC), located in Silver Spring, MD, and managed by a contractor.

This chapter establishes the policy directives and required procedures for maintaining USAID's development experience and contributing to the Agency's **knowledge management** efforts by

- Preserving and promoting knowledge of the Agency's performance, results, **lessons learned**, and experiences in development activities throughout the world;
- Ensuring that the Agency has access to its own development experience and that of other international development organizations for use in planning, implementing, and evaluating the Agency's programs and activities; and
- Strengthening the Agency's use of development experience in its strategic planning, program implementation, performance measurements, and evaluations.

540.2 PRIMARY RESPONSIBILITIES

Effective Date: 09/05/2005

a. The **Bureau for Policy and Program Coordination, Office of Development Evaluation and Information (PPC/DEI)**, previously referred to as the Center for **Development Information** and Evaluations (CDIE), is responsible for the following activities in support of the Agency's strategic plan to manage for results. Additional information on PPC's role in strategic planning can be found in **ADS 200**.

- (1) Maintaining the Agency's development experience database and clearinghouse function;
- (2) Providing a research and information service to respond to a broad array of development inquiries;
- (3) Maintaining a **USAID library** and specialized development information collections;
- (4) Maintaining an **Economic and Social Database** (ESDB), including external international and U.S. Government statistical data sources;
- (5) Performing the Agency's **data brokering** function by coordinating Agency program-funded development information service activities;

(6) Assisting Agency Bureaus, Offices, and Missions (i.e., USAID Agency Operating Units) in managing development information.

b. Agency Operating Units and Strategic Objective Teams (SOTs) are responsible for submitting USAID-funded development experience material they generate to the [Development Experience Clearinghouse](#) (DEC); and for using the findings, conclusions, and recommendations of development experience documents prepared by Agency and external resources.

c. Contracting Officers (COs) and Agreement Officers (AOs), including those delegated [contract](#) and [grant](#)-making authority by AA/M, such as the Bureau of Democracy, Conflict and Humanitarian Assistance (DCHA), are responsible for including the proper clauses and provisions in contracts, grants, cooperative agreements (CAs), and other implementing instruments to instruct implementing partners to submit [development experience documentation](#) to the DEC. [ADS 103, Delegations of Authority](#), specifies who, within the Agency, has been assigned contract and grant-making authority. [AAPD 04-06, Submission of Development Experience Documents](#), provides the contract clause and assistance provisions for insertion in acquisition and assistance awards.

d. SOTs, COs, and AOs, including those delegated contract and grant-making authority by AA/M, are responsible for including, with as much specificity as possible, the clauses and provisions in contracts, grants, and [cooperative agreements](#) to instruct contractors or grantees on the required types of reports to be produced and the timing of their submission to USAID and the DEC. [CIB 98-21, 742.1170, Performance Monitoring and Progress Reporting](#), and [ADS 303.E303.5.12b, Award Elements](#), describe the requirements for contracts and grants, respectively

Note: The ADS uses the terms “grantee” and “[recipient](#)” interchangeably. For this chapter, the term “grantee” appears throughout. For this chapter the term “grant” also includes cooperative agreements. When the terms “grant” and “cooperative agreement” appear as “grant/CA,” it is for additional emphasis.

540.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

540.3.1 Using Development Experience Documentation

Effective Date: 03/06/1995

USAID [Agency Operating Units](#) must, when appropriate, consult available USAID/W development experience resources, including the [Development Experience System](#) (DEXS) and the USAID library. The Agency and its component Agency Operating Units must

a. Access pertinent development experience information and statistics and use that information on existing programs to improve the performance, effectiveness, and planning of development assistance;

- b. Acquire sufficient information to make decisions related to development assistance activities and use the findings, conclusions, and recommendations from Agency and external development experience to revise strategic plans or results frameworks where necessary, and plan new assistance programs or activities;
- c. Consult available USAID/W development experience resources to locate and identify relevant lessons learned;
- d. Use development experience and analysis on alternative approaches for achieving best results and on best practices in program and technical areas related to Agency goals and objectives;
- e. Use [development information services](#) to improve the coordination of development assistance activities between USAID and its development partners.
- f. Incorporate baseline and contextual data to plan, measure and improve performance of development assistance activities; and
- g. Request from PPC/DEI technical assistance and training for the management and exchange of development experience information resources in order to better manage for results.

540.3.2 Contributing to the Agency's Development Experience System (DEXS)

Effective Date: 03/05/01

USAID maintains the Development Experience System (DEXS) as a primary institutional memory resource, providing Agency staff and development partners with accurate, comprehensive, and timely information on the Agency's development experience. The DEXS includes USAID-funded documentation created by the Agency or by contractors and grantees. [OMB Circular A-130, Management of Federal Information Resources](#), requires executive agencies, among other things, to have a system in place to acquire and disseminate information for the purpose of supporting strategic planning activities.

The remainder of this chapter explains the required procedures for submitting development experience documents for inclusion in DEXS. It covers

- who must submit material for inclusion in DEXS;
- what types of material to submit;
- the criteria for submitting material for inclusion in DEXS; and
- how to submit material for inclusion in DEXS.

540.3.2.1 Documentation Agency Operating Units Submit to the Development Experience Clearinghouse (DEC)

Effective Date: 09/05/2005

Agency Operating Units (field Missions, regional entities, and USAID/W Offices) must properly document the Agency's policies, programs, and development activities. Development experience documentation describes the planning, design, implementation, evaluation, and results of development assistance activities that are generated during the life cycle of the program or activity. Agency documentation will change as new management systems are implemented. [ADS 101, Agency Programs and Functions](#), describes the roles and responsibilities of Agency Operating Units in developing policies, programs, and development activities. [ADS 202.3.4.6, Maintaining Official SO Team Files](#), and [ADS 502, The USAID Records Management Program](#), describe the role of Agency Operating Units in establishing and maintaining official files.

Agency Operating Units must ensure that development experience documentation they generate is submitted to the Development Experience Clearinghouse (DEC) for inclusion in the Development Experience System (DEXS) database.

Agency operating units are encouraged to designate individuals to serve as liaison with the DEC to ensure submission of all appropriate documents. The liaison can be a [Cognizant Technical Officer](#) (CTO), [Contracting Officer](#) (CO), Program Officer (PO), Project Development Officer (PDO), or other staff. The designated individual should be the person most familiar with the material.

Types of development experience documentation submitted by USAID Agency Operating Units and strategic objective teams include, but are not limited to, the following five categories:

a. Program policy and strategy planning documents

Policy analyses, policy implementation, Regional and Central Bureau/Independent Office frameworks, Agency Operating Unit strategy statements, performance management plans, and strategic objective agreements as prepared for USAID programs and activities, are examples of program policy and strategy planning documents.

b. Development activity analyses and design documents

Reports that analyze, justify, define, or document a USAID development activity, including activity information sheets (AIS), as well as economic, social, and environmental analyses conducted prior to activity design, are examples of development activity analyses and design documents.

c. Program reviews and assessment documents

Reports that define, describe, or analyze USAID programs at regional, country, sector, or issue levels, including Agency Operating Unit annual reports (ARs), which include operational plans, portfolio reviews, and all congressionally mandated reports, are examples of program review and assessment documents.

d. Program and development activity performance, results, and evaluation reports

USAID reports that document significant evaluation findings, lessons learned, development results, performance measures, or evaluative information and observations, such as mid-term evaluations, final reports, strategic objective closeout reports, and Agency Operating Unit closeout (“graduation”) reports, are examples of program and development activity performance, results, and evaluation reports.

e. Other information products

Any other product produced by the Agency that furthers USAID development assistance activities, including training materials, conference/workshop proceedings and reports, and electronic information products such as databases and CD-ROMs.

If documents, such as those mentioned above, are prepared by Agency staff, it is the responsibility of the Agency Operating Unit to submit the final approved report to the DEC. If contractor assistance is used to prepare a document that is shown as a deliverable according to the contract, the Agency Operating Unit coordinates the submission of the document with the responsible CTO.

540.3.2.2 Documentation Agency Operating Units Must Not Submit

Effective Date: 09/05/2005

Do not submit correspondence such, as Administrative Approval Forms and Checklists, travel itineraries, or salary information, generated in the normal course of carrying out the administrative, financial, or procurement management of a contract or grant. Also, do not submit marketing and promotional materials (posters, flyers, and “give-away” products) and non-technical newsletters.

540.3.2.3 Documentation Created by Agency Contractors and Grantees

Effective Date: 09/05/2005

The purpose of this section is to provide mandatory guidance to Cognizant Technical Officers (CTOs), Contracting Officers (COs), and [Agreement Officers](#) (AOs), including those delegated grant-making authority by AAM, as they carry out their duties in monitoring contractor performance.

COs and AOs must be sure to include the contract clause and assistance provisions, required in [AAPD 04-06, Submission of Development Experience Documents](#), in award documents to ensure that contracts and grants/CAs require the implementing partners to submit reports or deliverables they produce under the award to the DEC. CTOs, or other individuals who are the most familiar with the award, are responsible for monitoring the contractor or grantees compliance with this requirement.

Types of documentation USAID contractors and grantees must submit include, but are not limited to, the following four categories:

a. Research and technical reports

Material that documents and reports on development research methods and results, technology development and applications, development assistance methods, technical assistance, and training methods. Includes technical and sector assessments, analyses, feasibility studies, proceedings of USAID-sponsored conferences and workshops, handbooks and manuals, and journal articles.

b. Evaluations and assessments

Self-evaluations and evaluations of other USAID programs and activities regarding performance measures, strategic objectives, and “lessons learned.” Includes mid-term and final evaluation reports.

c. Required progress and performance reports

Includes annual reports describing the progress and accomplishments of the USAID-funded activity or project, work plans, and final contractor and grantee reports to USAID. **For grants with no annual reporting requirement, grantees must submit semi-annual or quarterly reports.**

d. Other information products

Print and non-print products such as reference works, bibliographies, videos, CD-ROMs, DVDs, and databases.

540.3.2.4 Documentation Contractors Submit to the Development Experience Clearinghouse (DEC)

Effective Date: 09/05/2005

The range of reports that a contractor may be required to submit to USAID are found in four sections of a contract – Sections F, G, I, and J. Not all of these reports qualify as development experience documents to be submitted to the DEC, as explained below:

a. Section F – Deliverables or Performance

A subsection, usually headed as Delivery Schedule or Reports, provides information on the types and timing of submission of reports to USAID. With the exception of financial reporting, reports required in this section are development experience documents.

b. Section G – Contract Administration Data

This section contains mandatory references to FAR (Federal Acquisition Regulation) clauses and AIDAR (AID Acquisition Regulation) clauses. [CIB 98-21](#) sets forth the requirement for periodic progress reports including their type, content, and submission schedule. The CIB requires that this information be included in Section G, but in practice the instructions for submitting specific progress reports appears, at the CO's discretion, in either Section F or Section G.

The CIB and the federal statutes and USAID regulations it references prompt the CO to consult with the SOT to determine the specific deliverables or performance measures that must be incorporated in Section F, *Deliverables or Performance*, of the contract. [CIB 98-21, 752.242-70, Periodic Progress Reports – new AIDAR coverage](#), describes the requirement for insertion of the clauses in contracts and grants.

c. Section I – Contract Clauses

This section pertains to regulations governing USAID's payment for services or equipment supplied by the contractor. Financial reports and invoices are **not** development experience material.

d. Section J – List of Documents, Exhibits and Other Attachments

This section pertains to U.S. Government-furnished property and the requirement of a contractor to report periodically on non-expendable property. Reports generated under this section are **not** development experience material.

540.3.2.5 Documentation Grantees Submit to the Development Experience Clearinghouse (DEC)

Effective date: 09/05/2005

The range of reports that a grantee is required to submit to USAID are located in the "Monitoring and Reporting Program Performance Reporting" section of the grant. Not all of them qualify as development experience documents to be submitted to the DEC, as explained below:

a. Performance Reports

The frequency of grant reporting is specified in the grant, and may vary from quarterly to annually. Performance Reports are development experience documents.

b. Annual Reports

Annual Reports describing the progress and accomplishments of the USAID-funded activity or project are development experience documents. Annual Reports issued after the fiscal year end which report on the financial status of the organization administering the grant are **not** development experience documents.

c. Final Performance Reports

Final Performance Reports, submitted no later than 90 days after the expiration or termination of the grant, are development experience documents.

d. Financial Reporting

Financial reports are **not** development experience material.

[22 CFR 226.50, Purpose of Reports and Records, Part 226, Administration of Assistance Awards to U.S. Non-Governmental Organizations](#) explains the procedures for monitoring and reporting a grantee's program and financial performance.

540.3.2.6 Documentation Agency Contractors and Grantees Must Not Submit
Effective Date: 09/05/2005

The following are NOT development experience material and must not be submitted to the DEC (either by contractors or grantees under the terms of their awards, or by CTOs or operating units): financial reports, such as [SF-269, Financial Status Report \(Long Form\)](#), [SF-269A, Financial Status Report \(Short Form\)](#), [SF-270, Request for Advance or Reimbursement](#), or [SF-272, Report of Federal Cash Transactions](#), or financially sensitive portions of required reports; marketing and promotional materials (posters, flyers, and "give-away" products); and non-technical newsletters.

540.3.2.7 Criteria for Submitting Development Experience Documents
Effective Date: 09/05/2005

Documents must meet the following basic standards to be entered into the DEXS database:

- a. Documents must be in electronic format, unless an electronic version doesn't exist, in which case a hard copy is acceptable.

- b. Only final, approved versions of documents.
- c. Each electronic document must consist of a single electronic file that comprises the complete and final equivalent of a hard copy.
- d. **Electronic documents** may be submitted online (preferred); on 3.5" diskette, Zip disk, or CD-R; or by e-mail. **ADS 540.3.2.8** provides the internet address for electronic submission.
- e. Electronic documents must be in PDF (Portable Document Format) whenever possible.
- f. Documents must be complete; legible; and free of typographical mistakes, notes, or other extraneous markings.
- g. Documents must conform to current USAID branding requirements. 22 CFR 226 was revised on August 26, 2005, to include new marking requirements that grantees must use on USAID-funded reports and advertising USAID-sponsored seminars, workshops, etc. (see 70 FR 50183, at <http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/pdf/05-16698.pdf>). Contractors must comply with the marking clause in their contracts and the CTO's specific instructions on the Agency's branding policy.
- h. Documents must be compliant with Section 508 of the Rehabilitation Act of 1973. **CIB 01-21, USAID Implementation of Section 508 of the Rehabilitation Act of 1973 and Federal Acquisition Circular (FAC) 97-27 "Electronic and Information Technology Accessibility,"** provides the needed guidance.

540.3.2.8 Essential Bibliographic Elements for Documents

Effective Date: 09/05/2005

Essential bibliographic information must accompany the document. To ensure that all bibliographic elements necessary for appropriately cataloging a document are received, a completed **AID 590-7, USAID Development Experience Clearinghouse (DEC) Submission Form** must accompany the submission. For Intranet users, the form is available at <http://inside.usaid.gov/forms/a590-7.doc>. For Internet, users the form is available in MS Word or PDF format at <http://dec.usaid.gov/submit/a590-7.doc> and <http://dec.usaid.gov/submit/a590-7.pdf>.

The required information for the bibliographic elements includes, but is not limited to, the following descriptive information.

- a. USAID award number (contract, cooperative agreement, grant, etc.);

- b. USAID strategic objective title and number;
- c. USAID project title and number (if applicable);
- d. Descriptive title (and if non-English, a translation);
- e. Author name(s);
- f. Contractor or grantee name(s);
- g. Sponsoring USAID Agency Operating Unit(s) (including the name of the current CTO);
- h. Date of publication; and
- i. Language.

540.3.2.9 Essential Bibliographic Elements for Non-Print Information Products
Effective Date: 09/05/2005

Development experience media products must be in good physical condition and able to be reproduced by appropriate duplicating equipment. In addition to the bibliographic elements listed above, descriptive elements required for non-print media include, but are not limited to, the following information.

- a. Media format, such as VHS and DVD;
- b. Run time and recording speed;
- c. Description of media product(s) being submitted (for example: "Includes VHS videocassette, printed handbook, 1 program disk, and 1 data disk").

540.3.2.10 Required Contact Information
Effective Date: 09/05/2005

All materials submitted must include the name, organization, address, and contact information (telephone number, fax number, and e-mail address) of the submitting party.

540.3.2.11 Where to Submit Development Experience Documentation
Effective Date: 09/05/2005

- a. Development experience documentation:
 - Online (preferred): <http://www.dec.org/submit.cfm/>
 - Mailing address (for pouch delivery):

DEXS Document Submissions
PPC/DEI
RRB 6.09-060
Washington, DC 20523-6802

- DEC direct mailing address:
DEXS Document Submissions
8403 Colesville Rd., Ste. 210
Silver Spring, MD 20910-6368

- Contact information:
Telephone: +1 301-562-0641
Fax: +1 301-588-7787
E-mail: docsubmit@dec.cdie.org

- b. Agency Operating Unit annual reports (ARs): submit in accordance with annual PPC guidance.
- c. Activity information sheets (AIS): submit as they become available to npctemplate@dec.cdie.org.

540.3.2.12 Submitting Policy-Sensitive, Procurement-Sensitive, or Proprietary Documentation

Effective Date: 09/05/2005

PPC/DEI works closely with the Agency's Bureau for Management, Office of Acquisition and Assistance (M/OAA) and Office of General Counsel (GC) to protect sensitive information contained in development experience documents. [ADS 201.3.13](#), *Public Access to Planning Documents*, defines budget information and includes a table providing release dates of planning documents to the public. The section also provides guidance for managing documents that contain sensitive foreign policy statements.

Before submission to the DEC, each Agency Operating Unit or CTO must clearly mark all documents containing sensitive information, according to current Agency guidelines. If possible, include a projected release date. [12 FAM 540](#), *Sensitive But Unclassified (SBU)* discusses procedures for managing SBU material.

USAID recommends that all policy-sensitive, procurement-sensitive, or proprietary documentation submitted to the DEC include a cover sheet that contains the following disclaimer:

This (insert title of plan, strategy, report, or evaluation, etc.) was assembled by (insert USAID/country or Agency Operating Unit). It is an approved, official USAID document. Budget information contained herein is for illustrative purposes. All policy and procurement sensitive information has been removed.

Additional information on the plan, strategy, report or evaluation can be obtained from (insert name of individual, office and contact information).

Release Date: Within 10 days from the date the approved version is submitted to the DEC.

Note: Each Agency Operating Unit and CTO has the option of limiting access to the development experience document submitted to the DEC. A document may be released for access to one of two user categories: USAID intranet (<http://cdie.usaid.gov>) limits access to users with USAID e-mail accounts; USAID internet (<http://dec.org>) places the document in the public domain. Posting a development experience document to USAID's intranet and limiting public access is an option utilized only when certain conditions, such as the release of information potentially endangering the physical security of employees. When in doubt, seek the advice of GC and the director of the Agency Operating Unit.

***540.3.2.13 Submitting Classified Documentation**

Effective Date: 09/05/2005

The DEC does not accept classified documents. The DEC accepts declassified documents. [32 CFR 2001, Subpart E](#) describes mandatory reviews and declassification guidelines for classified national security documents.

540.3.2.14 Closing and Retiring Development Experience Collections

Effective Date: 09/05/2005

Agency Operating Units intending to discontinue information center operations, such as mission or technical libraries, or retire special collections must contact PPC/DEI at +1 202-712-1612 or the DEC at +1 301-562-0641, to make sure that appropriate USAID-funded development experience materials referred to in **ADS 540.3.2.1** are not discarded without a review of the inventory by the DEC. DEC submission coordinators review the holdings to decide what material should be retained as development experience material. When doubt exists about whether or not documents must be included in the DEXS, the preference is to contact the DEC via e-mail at docsubmit@dec.cdie.org. If you are unable to email, submit a copy using the DEC's mailing address shown in **ADS 540.3.2.8**.

540.4 MANDATORY REFERENCES

Effective Date: 09/05/2005

540.4.1 External Mandatory References

Effective Date: 09/05/2005

- a. [Foreign Assistance Act of 1961, 22 U.S.C. 2151w, Project and Program Evaluations](#) (authority)

- b. [Foreign Assistance Act of 1961, 22 U.S.C. 2381a, Strengthened Management Practices](#) (authority)
- c. [OMB Circular A-25, User Fees](#) (authority)
- d. [OMB Circular A-130, Management of Federal Information Resources](#) (authority)
- e. [12 FAM 540, Sensitive But Unclassified \(SBU\)](#) (authority)
- f. [22 CFR 226.50, Purpose of Reports and Records](#) (authority)
- *g. [32 CFR 2001, Classified National Security Information, Subpart E, Declassification](#) (authority)

540.4.2 Internal Mandatory References

Effective Date: 09/05/2005

- a. [ADS 101, Agency Programs and Functions](#)
- b. [ADS 103, Delegations of Authority](#)
- c. [ADS 200, Introduction to Managing for Results](#)
- d. [ADS 201, Planning](#)
- e. [ADS 202, Achieving](#)
- f. [ADS 203, Assessing and Learning](#)
- g. [ADS 300, Interim Update 03-03, Contract Clause Guide for Unclassified Information System Security Systems and Services](#)
- h. [ADS Series 300, Interim Update 04-11, Proposed Marking Policy Posted in Federal Register](#)
- i. [The ADS Process, A Mandatory Reference for ADS Chapter 501](#)
- j. [ADS 501, The Automated Directives System](#)
- k. [ADS 502, USAID Records Management System](#)
- l. [AAPD 04-06, Submission of Development Experience Documents](#)
- m. [AAPD 04-10, Standardized Model Letters for Designating the Cognizant Technical Officer \(CTO\) for Contracts, Grants, and Cooperative Agreements](#)

- [Attachment 1: Cognizant Technical Officer Designation – Contract/Task Order Administration](#)
 - [Attachment 2: Cognizant Technical Officer \(CTO\) Designation – Grant Administration](#)
 - [Attachment 3: Cognizant Technical Officer \(CTO\) Designation – Cooperative Agreement Administration.](#)
- n. [CIB 01-21 USAID Implementation of Section 508 of the Rehabilitation Act of 1973 and Federal Acquisition Circular \(FAC\) 97-27 “Electronic and Information Technology Accessibility.”](#)
- o. [CIB 98-21, Contractor Progress Reports – new AIDAR coverage](#) Contains new AIDAR section 742.1170, Performance Monitoring and Progress Reporting, and new contract clause, 752.242-70 in AIDAR part 752, Solicitation Provisions and Contract Clauses.

540.4.3 Mandatory Forms

Effective Date: 09/28/05

- a. **AID 590-7, DEC Submission Form** For Intranet users, the form is available at <http://inside.usaid.gov/forms/a590-7.doc>. For Internet users, the form is available in MS Word or PDF format at <http://dec.usaid.gov/submit/a590-7.doc> and <http://dec.usaid.gov/submit/a590-7.pdf>.

540.5 ADDITIONAL HELP

Effective Date: 09/05/05

- a. [Sample Document Request Letter to Contractors and Grantees](#)

540.6 DEFINITIONS

Effective Date: 09/05/05

Agency Operating Units

USAID field Missions, regional entities, and USAID/Washington Offices that expend funds to support Agency program objectives. This definition particularly includes Agency Operating Units performing the functions of formulating policy, strategic and budgetary planning, achieving results, procurement, personnel management, financial management, and statutory requirements. (Chapters 200-204, 260, 540, 623)

Agreement Officer (See also, Contracting Officer)

A person with the authority to enter into, administer, terminate and/or closeout assistance agreements, and make related determinations and findings on behalf of USAID. An Agreement Officer can only act within the scope of a duly authorized warrant or other valid delegation of authority. The term "Agreement Officer" includes persons warranted as "Grant Officers." It also includes certain authorized representatives of the

Agreement Officer acting within the limits of their authority as delegated by the Agreement Officer. (Chapters 303, 304, 540)

Cognizant Technical Officer (CTO)

The individual who performs functions designated by the Contracting or Agreement Officer, or is specifically designated by policy or regulation as part of contract or assistance administration. In other parts of the U.S. Government, the synonymous term is usually Contracting Officer's Technical Representative (COTR). (Chapters 200-203, 306, 540, 621, 631)

***contract**

A mutually binding legal instrument in which the principal purpose is the acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal government, or in the case of a host country contract, the host government agency that is a principal, signatory party to the instrument. (Chapters 302, 304, 305, 540, 621)

A mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments, contracts include (but are not limited to) awards and notices of awards; job orders or task letters issued under basic ordering agreements; letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and bilateral contract modifications. Contracts do not include grants and cooperative agreements covered by 31 U.S.C. § 6301, et seq. For discussion of various types of contracts, see Part 16. (Chapters 331, 540)

Contracting Officer (See also, Agreement Officer)

A person representing the U.S. Government through the exercise of his/her delegated authority to enter into, administer, and/or terminate contracts and make related determinations and findings. This authority is delegated by one of two methods: to the individual by means of a "Certificate of Appointment", SF 1402, as prescribed in FAR 1.603-3, including any limitations on the scope of authority to be exercised, or to the head of each contracting activity (as defined in AIDAR 702.170), as specified in AIDAR 701.601. (Chapters 302, 331, 535, 540)

***cooperative agreement**

A legal instrument used where the principal purpose is the transfer of money, property, services or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by USAID is anticipated. (Chapter 304, 540)

data brokering

Coordinating Agency program-funded development information service activities. (Chapter 540)

***development assistance** (also known as foreign assistance and international development assistance)

Programs, projects, and activities carried out by USAID that have the twofold purpose of furthering U.S. foreign policy interests in expanding democracy and promoting free market economic growth while improving the lives of the citizens of developing countries. (Chapter 540)

development experience

The cumulative knowledge derived from the planning, design, implementation, evaluation, and results of development assistance programs. In addition to "lessons learned," development experience includes research findings, applications of technologies and development methods, program strategies, and assistance mechanisms. (Chapter 540)

Development Experience Clearinghouse (DEC)

The Bureau for Policy and Program Coordination, Office of Development Evaluation and Information (PPC/DEI, which acquires, processes, and disseminates, on demand, intellectual materials that describe the planning, design, implementation, evaluation, and results of USAID development assistance activities. (Chapter 540)

development experience documentation

Documents that (1) describe and record development experience and (2) are generated during the life cycle of development assistance programs or activities. (Chapter 540)

Development Experience System (DEXS)

A collection of databases providing access to USAID-produced or funded development experience documents and descriptions of USAID development assistance activities. (Chapter 540)

development information

The body of published literature, unpublished "gray literature," statistical data, current awareness information, knowledge bases, etc., that document, describe, measure, and communicate the methods, technologies, status, performance, results, and experience of development practices and activities by the international development community and local, indigenous development practitioners. (Chapter 540)

Development Information Services (DIS)

Research and information services that target, identify, analyze, and synthesize USAID experience, other donor development experience, and state-of-the-art technical knowledge. Information provided by research services enhances decision making, policy formulation, strategic planning, project and program design, implementation, management, evaluation, and application of technical expertise. (Chapter 540)

Document Distribution Unit

The Development Experience Clearinghouse office which provides on-demand copies of USAID project and program documents and USAID-funded technical reports in the Development Experience System (DEXS). (Chapter 540)

Economic and Social Database (ESDB)

An online information system that provides access to international economic and social data in support of Agency operations and evaluation activities. (Chapter 540)

electronic documents

Documents composed on computers, using a variety of word processing, data collection, spreadsheet, or other software programs. PDF is the preferred format of the Development Experience Clearinghouse (DEC). (Chapter 540)

evaluation documents

Program and project evaluation, performance measurement, and development result reports, and any other document containing significant evaluative information and observation. Those publications describing a relatively structured, analytic activity undertaken selectively to answer specific management questions regarding USAID-funded development assistance activities. (Chapter 540)

***grant**

A legal instrument used where the principal purpose is the transfer of money, property, services, or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by USAID is not anticipated. (Chapters 304, 591, 595)

knowledge management

The systematic process of finding, selecting, organizing, distilling and presenting information in a way that improves comprehension in a specific area of interest. It involves acquiring, storing and utilizing knowledge for problem solving, dynamic learning, strategic planning and decision making, protecting intellectual assets from decay, adding to Agency intelligence and providing increased flexibility. In so doing, Knowledge Management helps the Agency gain insight and understanding from its own experience. (Chapter 540)

lessons learned

The conclusions extracted from reviewing a development program or activity by participants, managers, customers, or evaluators with implications for effectively addressing similar issues/problems in another setting. (Chapter 540)

recipient (also called grantee)

An organization receiving direct financial assistance (a grant or cooperative agreement) to carry out an activity or program. (Chapters 303, 304, 305, 540, 567)

An organization receiving financial assistance directly from USAID to carry out a program under a grant or cooperative agreement. The term includes public and private institutions of higher education, public and private hospitals, and other quasi-public and private nonprofit organizations. The term may also apply to profit-making organizations that are performing work under a grant or cooperative agreement relationship with USAID. (Chapters 540, 591, 636)

USAID Library

A USAID/W resource collection, staffed by information professionals, who manage and provide a wide range of development information services and sources (books, journals, databases, etc.) to USAID staff, contractors and the public, who need ready access to information sources on international development. (Chapter 540)

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