



# Foreign Assistance Programming in 2013: A Course for CORs/AORs Certified Prior to 2005



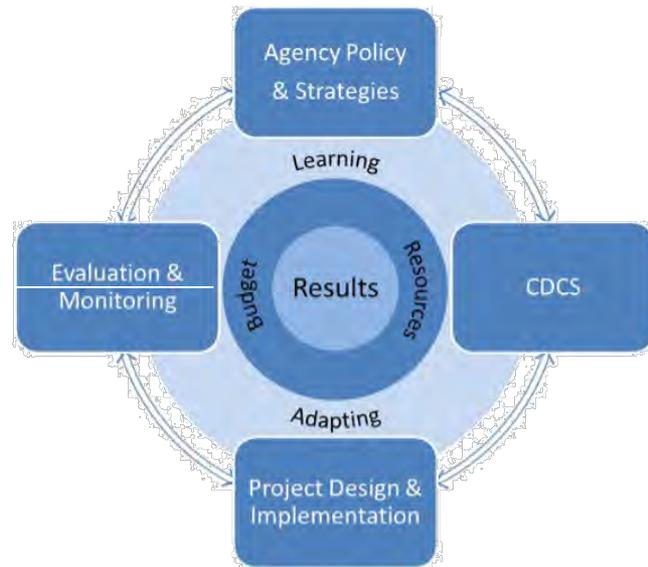
### Foreign Assistance Programming in 2013 Objectives

By the end of this module and the accompanying webinar, you will be able to:

- Explain the purpose of USAID's Program Cycle.
- Identify the multiple levels of planning guidance.
- Explain how the Program Cycle operationalizes *USAIDForward*.
- Describe new budget resource requests and strategy documents.
- Explain the background requirements of the USAID Project Design guidance.
- Describe the Performance Management phase in the Program Cycle.
- Explain the purpose and frequency of Portfolio Reviews.
- Describe the new Evaluation Policy application in the Mission.

There will be short quizzes throughout.  
The total course should take you about 1 hour to complete.

## Features and functions of this course



# What is the USAID Program Cycle?



## Roles and Responsibilities in Missions on the Program Cycle

<b>Role</b>	<b>Responsibility</b>
<b>Front Office/Mission Director</b>	Oversight, authority over Mission programming decisions
<b>Program Office</b>	Leads Program Cycle processes
<b>Technical Offices</b>	Primary technical focal point
<b>CORs/AORs</b>	Manage contracts and grants with no change in relationship with the CO, but with a broader context; working as part of a broader Project and DO Team.
<b>Acquisition, Legal, Controller</b>	Provide legal, budget and accounting/FM support during all phases of the Program Cycle

# What Links the Program Cycle Components Together?

Analysis and Evidence

Stakeholder Engagement

Performance

## Three Themes



Three themes run throughout the program cycle and reinforce the relationship between each component:

1. Analysis and Evidence
2. Stakeholder Engagement
3. Performance Management

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## What Links the Program Cycle Components Together?

Analysis and  
Evidence

### Analysis and Evidence

Each component of the Program Cycle is based on available evidence from various analyses, assessments, and relevant evaluations.

This evidence can come from within the Mission, throughout the Agency, other donors, implementing partners, the host country, or other stakeholders.

Stakeholder  
Engagement

Performance  
Management

## What Links the Program Cycle Components Together?

Analysis and  
Evidence

Stakeholder  
Engagement

Performance  
Management

### Stakeholder Engagement

The international development landscape, has evolved over the last several decades.

Missions should identify and evaluate opportunities for strategic partnership at every stage of the Program Cycle.

## What Links the Program Cycle Components Together?

Analysis and  
Evidence

Stakeholder  
Engagement

Performance  
Management

### Performance Management

Performance Management links to each component of the Program Cycle and continues to serve an important role in USAID, enabling us to determine whether projects are having the intended impact.

#### **CDCS**

CDCSs must include a results framework with at least one, but no more than three performance indicators for the CDCS Goal and each DO and IR. Missions finalize CDCS indicators in a Performance Management Plan, which is then updated as projects are designed.

#### **Project Design**

Missions are required to develop an M&E plan during project design, and include it as an annex to their project appraisal document.

#### **Monitoring and Evaluation**

Portfolio reviews are held to track performance and learn.



## USAID's Integrated Program Cycle: Agency Policy and Strategies

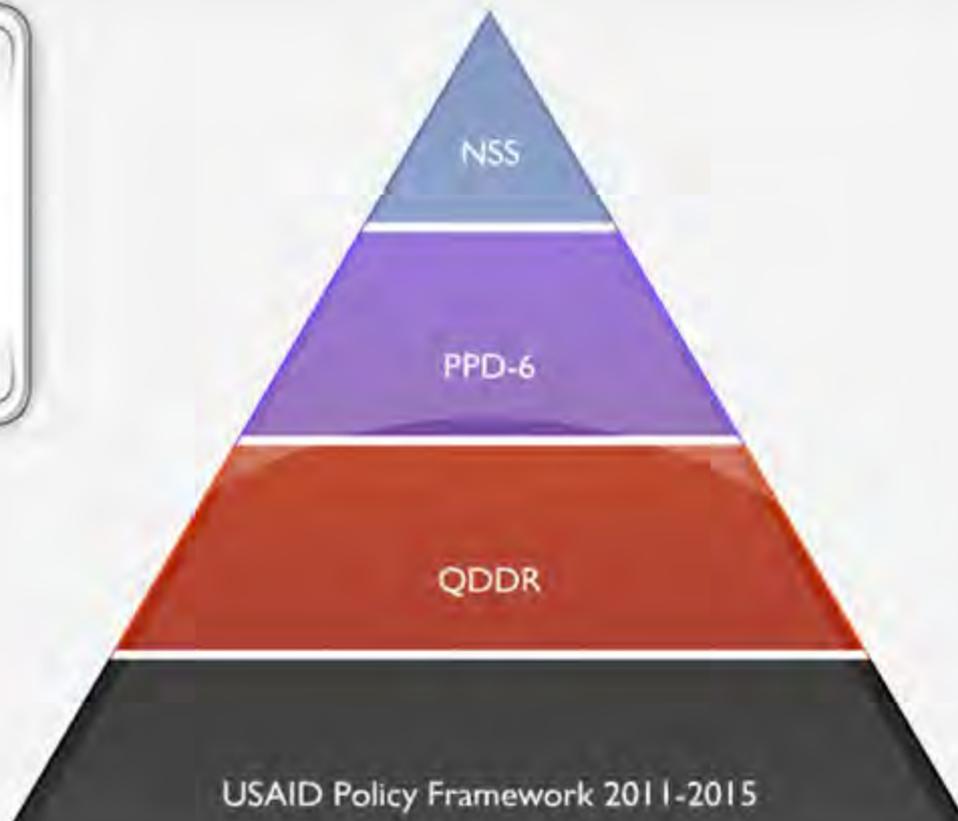


## USG Policy Landscape

### USAID Policy Landscape

USAID is guided by a number of USG policies.

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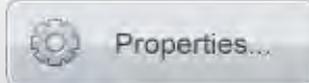
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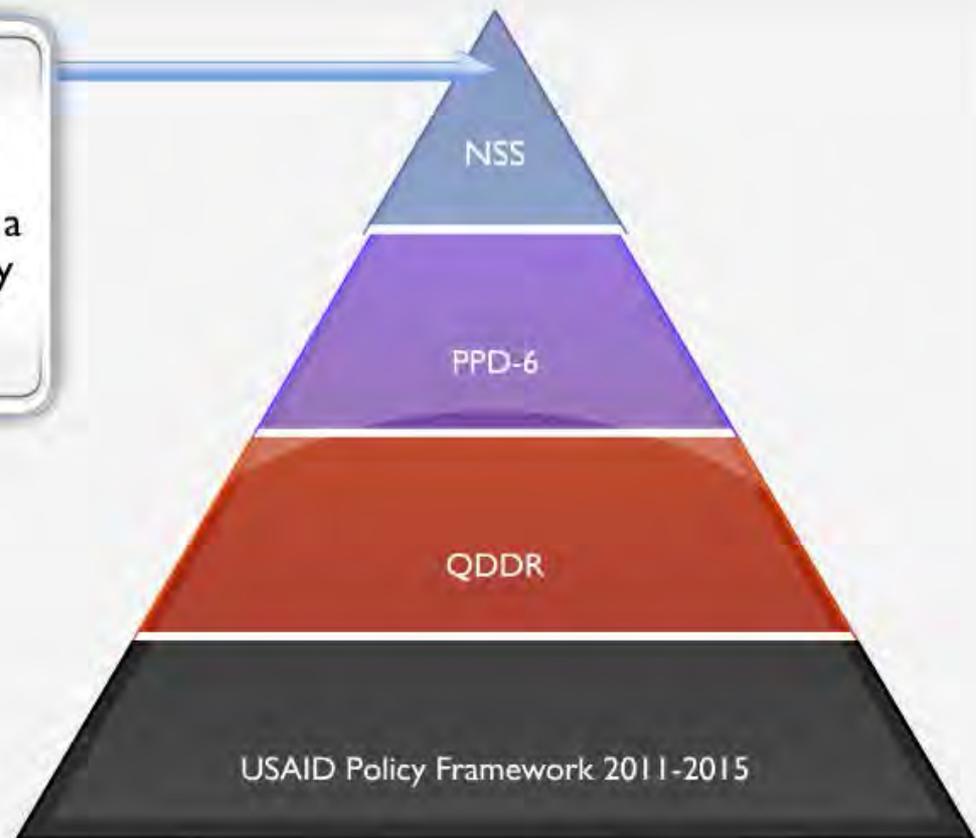
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## NSS

### **National Security Strategy**

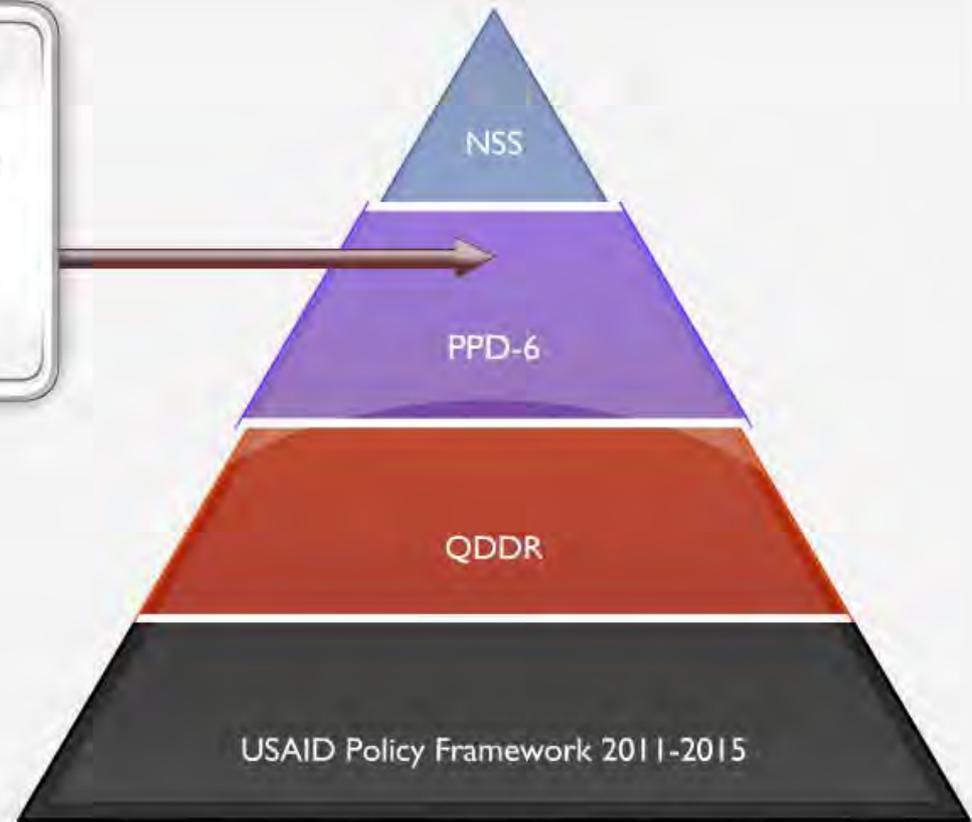
At the highest level is the National Security Strategy, released in May 2010. It recognizes development as a central pillar of our national security capacity.



## PPD-6

### **Presidential Policy Directive 6**

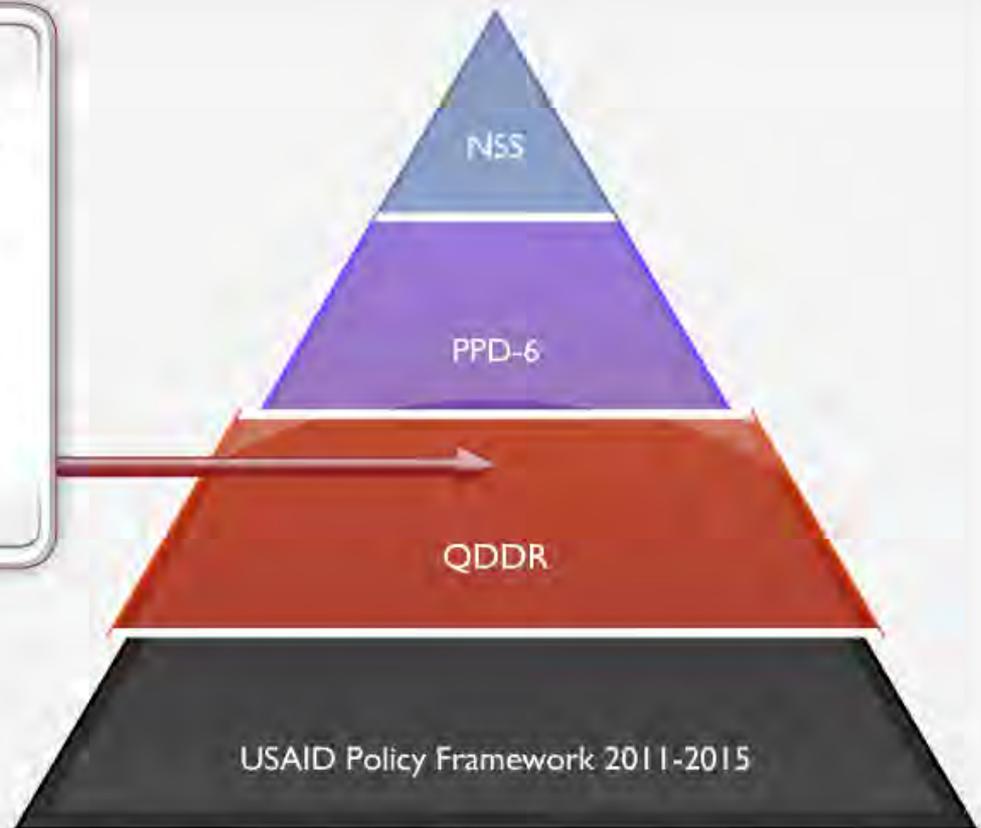
The PPD-6, released in September 2010, recognizes that development is a strategic, economic, and moral imperative for the United States.



### QDDR

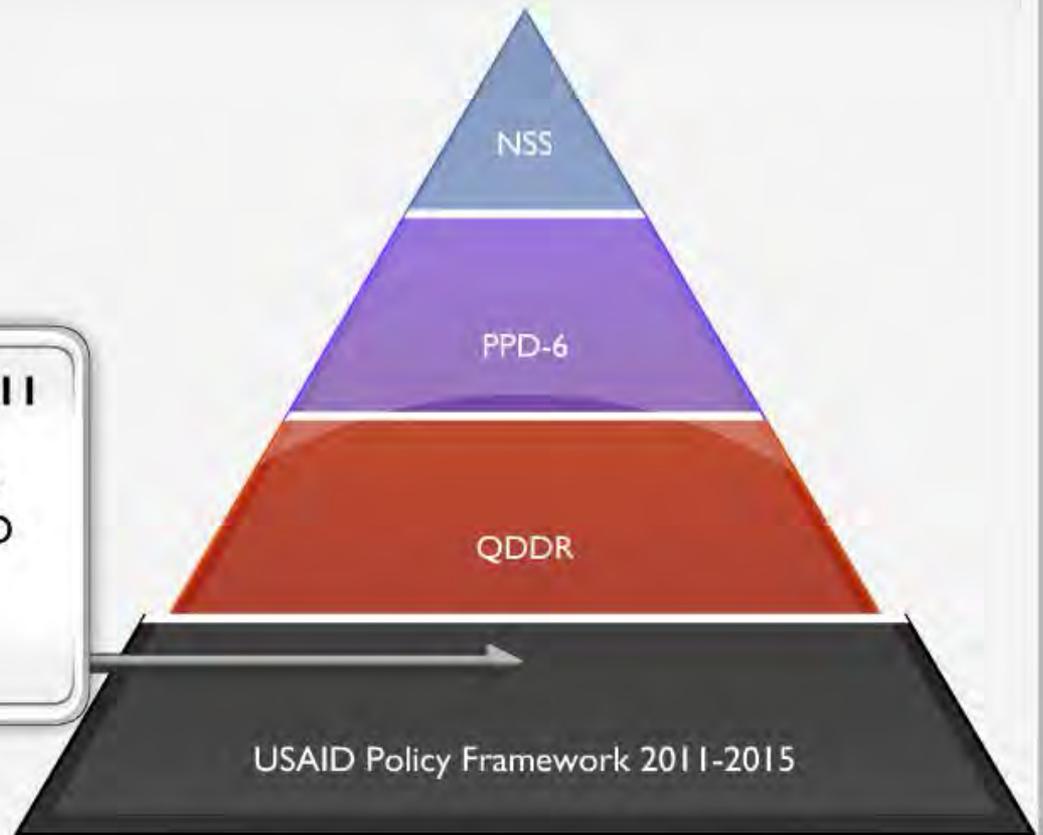
#### **Quadrennial Diplomacy and Development Review**

The QDDR, issued by Secretary of State Clinton in December 2010, proposes ways to strengthen the capabilities of the Department of State and USAID to elevate diplomacy and development as key pillars of U.S. foreign policy.



### USAID Policy Framework 2011-2015

**USAID Policy Framework 2011-2015**  
These policy documents form the foundation upon which the USAID Policy Framework was built.

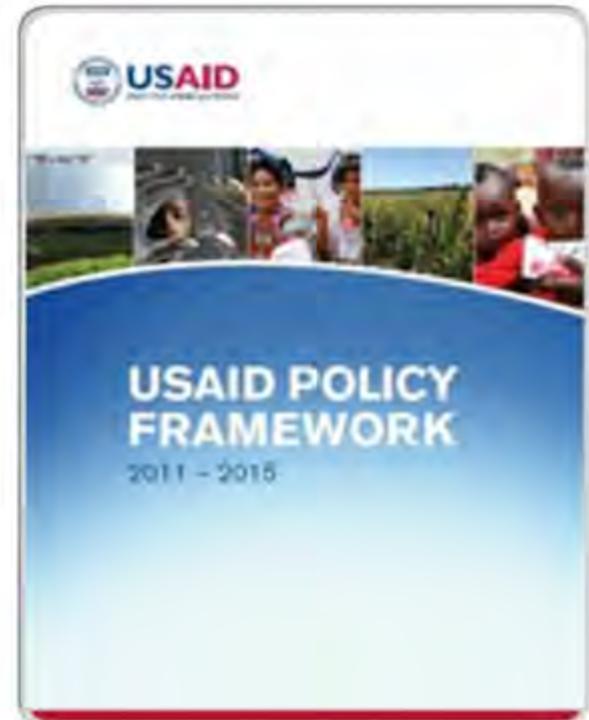


Development  
Objectives

Operational  
Principles

## Introduction

- Clarifies core development priorities
- Operationalizes the President's Policy Directive on Global Development (PPD-6) and Quadrennial Diplomacy and Development Review (QDDR)
- Explains how USAID will apply principles across Agency portfolio
- Presents agenda for institutional reform, *USAID Forward*



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Development  
Objectives

## Operational Principles

- Promote gender equality and female empowerment
- Apply science, technology, and innovation strategically
- Apply selectivity and focus
- Measure and evaluate impact
- Build in sustainability from the start
- Apply integrated approaches to development
- Leverage “solution-holders” and partner strategically

Operational  
Principles

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Development  
Objectives

## Development Objectives

1. Increase food security
2. Promote global health and strong health systems
3. Reduce climate change impacts and promote low emissions growth
4. Promote sustainable, broad-based economic growth
5. Expand and sustain the ranks of stable, prosperous, and democratic states
6. Provide humanitarian assistance and support disaster mitigation
7. Prevent and respond to crises, conflict, and instability

Operational  
Principles

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Selectivity

## Introduction

Two key operational principles of the USAID Policy Framework and drivers of the Program Cycle are Selectivity and Focus.

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Focus

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Selectivity

### Selectivity

Selectivity concerns where USAID invests its resources in countries, sub-national regions, or sectors in order to have the greatest impact on a particular development outcomes at the country or global level.

Applying selectivity requires

- Understanding the conditions on the ground that are associated with the degree of impact desired
- Identifying criteria for selection of countries, regions or sectors based on those conditions

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Focus

Selectivity

## Focus

Focus relates to the degree to which the total volume of resources invested by USAID, or leveraged from other donors, in a particular country, sub-national region, or sector is sufficient to have a meaningful, measurable and lasting impact.

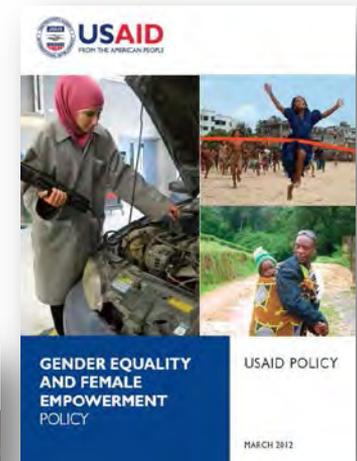
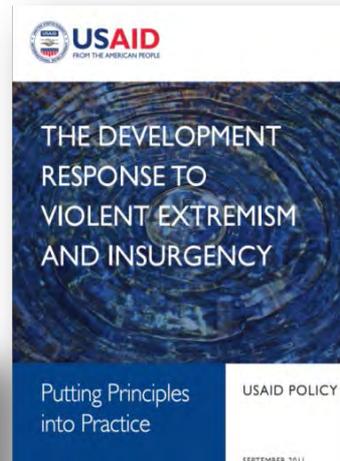
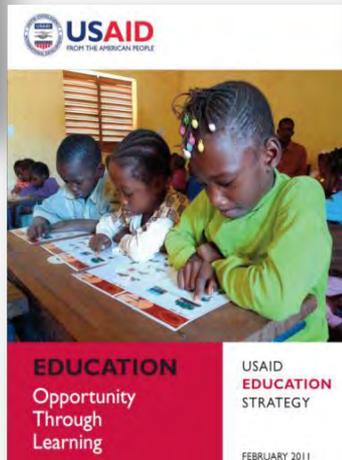
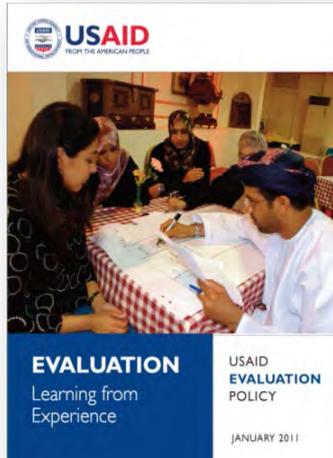
Applying this principle requires:

- Defining such impact
- Estimating on the basis of evidence the minimum volume of resources required to achieve it

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Focus

## Policy and Strategies



[USAID Forward](#)

A link to Policies and Strategies online can be found in the additional references tab above.

## Agency Policy and Strategies

Agency policies and strategies will be applied primarily in the strategic planning and project design components of the Program Cycle as well as throughout the integrated budget cycle.



## Agency Policy and Strategies

### **CDCS**

Relevant policies and strategies for a given country context are identified in the Consultation Phase and incorporated in the Results Framework based on rigorous analysis of the country context.



## Agency Policy and Strategies

### Project Design

Alignment of Project Design goals with policies and strategies.



# QUIZ - Program Cycle Overview

Question 1 of 7

What are the 4 key components of the Program Cycle?

Please select all that apply.

- Project Design and Implementation
- Agency Policies and Strategies
- State-USAID Joint Strategic Plan
- Evaluation and Monitoring
- Adapting and Learning
- CDCS

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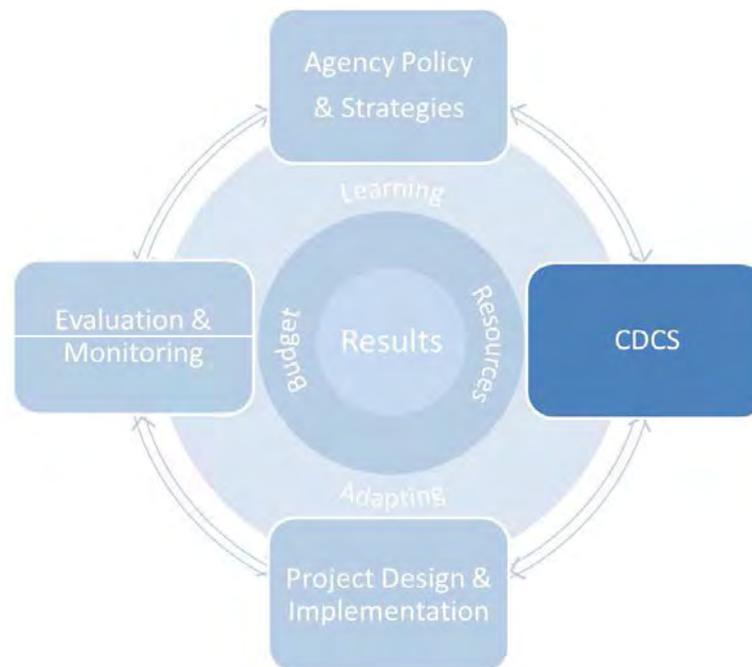


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## USAID's Integrated Program Cycle: Country Development Cooperation Strategies (CDCS)



Mandated by the QDDR and reinforced in PPD-6:

- *“USAID will work in collaboration with other agencies to formulate country development cooperation strategies that are results oriented and will partner with host countries (governments and citizens) to focus investment in key areas that shape countries ’ overall stability and prosperity.”*
- Strategic Planning is a key USAID Forward deliverable: 73 USAID Missions will complete a CDCS by end of FY 2013
- Missions under \$20 Million may use an abbreviated CDCS process and countries in conflict, crisis or fragile states may choose to develop a Transition Strategy



- Multi-year, country-based plans including results frameworks that articulate a Goal, Development Objectives, Intermediate Results and Performance Measures based on a strong development hypothesis
- Prioritizes USAID assistance (applies to USAID-managed resources) with input from other U.S.G. agencies
- Incorporates agency-level priorities and Presidential Initiative strategies, placing them in the context of country-level USAID assistance
- Supported by evidence and rigorous analysis

- The ICS sets Goals and Mission Objectives through an interagency planning effort, and integrates USAID CDCS into an overall strategic framework.
- The CDCS is the development foundation of the ICS and is submitted as an attachment to the ICS.
  - CDCS Development Objectives are included as ICS Mission Objectives.
- The ICS informs the overall country budget by establishing priorities and expected outcomes.
  - The CDCS continues to inform USAID's annual budget requests.

The CDCS serves four important purposes:

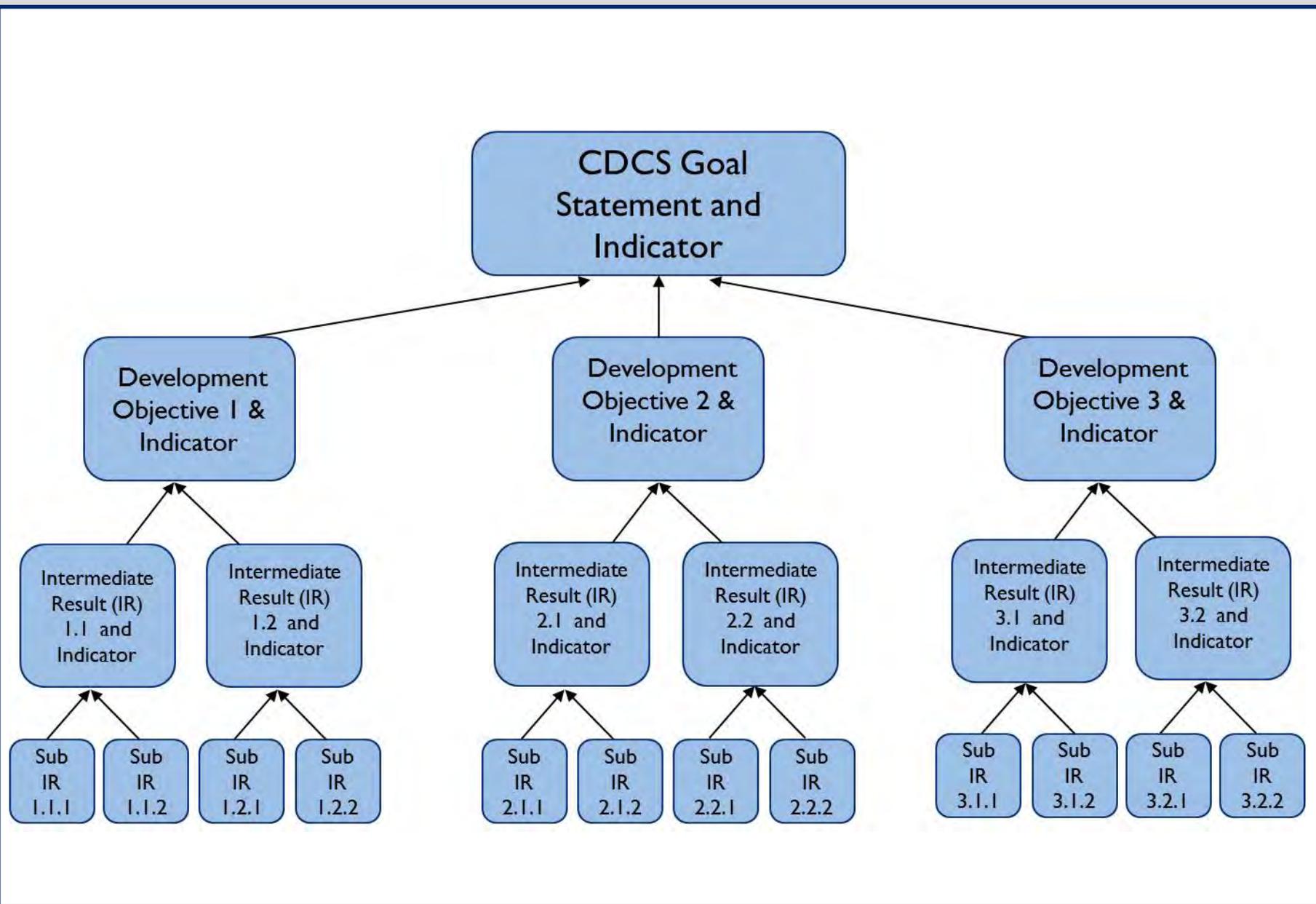
1. **Serves as strategic organizing framework** through its Development Objectives for annual budgeting and reporting processes as well as basis for Integrated Country Strategies
2. **Influences budget** formulation and allocation processes; some budget flexibility but not “blue sky”; based on realistic resource parameters
3. Given anticipated resources, CDCS **defines priorities and expected outcomes**: what results do we intend to achieve? What resources can be leveraged? How can we harmonize with host country?
4. Describes how country-specific Development Objectives **integrate sector-based approaches to achieve development outcomes**: how will resources be effectively and strategically leveraged to attain anticipated results?



The CDCS is structured around six key sections:

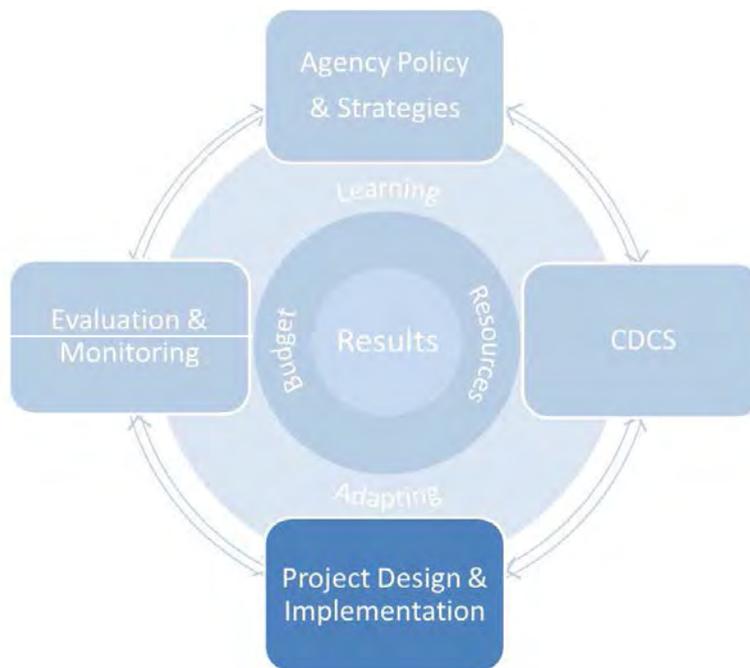
1. Development Context, Challenges, & Opportunities
2. Development Hypothesis (Theory of Change)
3. Results Framework
4. Monitoring, Evaluation, & Learning
5. Program Resources and Priorities
6. Management Requirements

# Results Framework Key Terms



# USAID's Integrated Program Cycle:

## Project Design



## Project, Activity and Implementing Mechanism

- The CDCS process articulates the results to be accomplished
- Project Design identifies how best to achieve those results

**Project:** A set of interventions or activities that achieve a result by solving an associated problem (typically including a number of implementing mechanisms and other actions such as policy dialogue)

Depicted graphically in Logical Frameworks and generally tied to Intermediate Results (in the CDCS Results Framework) and serve as the basis for future evaluations

**Activity:** A sub-component of a project that contributes to a project purpose

**Implementing Mechanism:** Used to define a legal obligation or sub-obligation of USAID funds such as a contract, grant or G2G agreement within a project

### The Principles of Project Design:

- Includes the seven Operational Principles in the Policy Framework 2011-2015  
*(introduced in the overview section of this course-USAID Policy Framework 2011-2015)*
- Incorporates the relevant elements of USAID Forward, particularly Implementation and Procurement Reform

### In addition, Project Design Process defines additional principles:

- Apply analytical rigor
- Incorporate learning and evaluation
- Broaden the range of implementing options
- Demonstrate USAID staff leadership

## Introduction

There are three stages to the Project Design Process

- Conceptual Stage (Concept Paper)
- Analysis Stage (Project Appraisal Document or PAD)
- Approval Stage (Project Authorization )

[Click along the process below for more detail](#)

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### Portfolio Alignment and Developing a Concept Paper

#### **Portfolio Alignment**

As part of the process, Missions need to transform their portfolios by reviewing existing activities to determine which awards:

- Are fully supportive of that framework and should continue
- Do not contribute to the results framework and should be terminated expeditiously
- Partially contribute and should either be allowed to end as scheduled or be redesigned to more fully contribute to the results framework
- PPL has developed a portfolio alignment tool to assist Missions

#### **Developing a Concept Paper**

- Identify the Design Team members & Team Leader

### Portfolio Alignment and Developing a Concept Paper

Concept Stage

Analysis Stage

Approval Stage

## Types of Analysis

### Mandatory

- Gender
- Environmental
- Sustainability

### Optional

- Social soundness
- Institutional
- Political Economy
- Cost-Benefit or Least Cost
- Financial (Micro-economic)
- Economic (Macro-economic)
- Beneficiary
- Risk
- Climate Change Vulnerability
- Conflict
- Disability

## Types of Analysis



Concept Stage

Analysis Stage

Approval Stage

### PAD Synthesis

Stage 2 of the Project Design process involves synthesizing the analysis and evidence and developing a Project Appraisal Document (PAD) that serves as the reference document for Project Authorization and subsequent implementation.

- Define the development problem to be addressed by the project
- Provide a description of the technical approach to be followed during implementation
- Define the expected results at the output, purpose, and goal level (as presented in the final logical framework including objectively verifiable indicators)
- Outline the analytical and sustainability considerations
- Present the financial plan and detailed budget
- Present an overall project implementation plan

### PAD Synthesis

Concept Stage

Analysis Stage

Approval Stage

## Project Authorization

Stage 3 of the Project Design process involves Mission leadership approval for a project to move from planning to implementation.

The Project Authorization:

- Documents all necessary Mission Office clearances
- Defines Life of Project funding and length of project
- Includes Mission Director's 'Authorization for the Use of Partner Country Systems' as required by ADS 220
- Includes and specific conditions or covenants and necessary pre-obligation requirements

Project Authorization

Concept Stage

Analysis Stage

Approval Stage

Full application of the Project Design Guidance includes:

- Developing a Concept Paper
- Developing Project Appraisal Document
- Developing Project Authorization

## Three Mandatory Analyses

- 1) **Gender** – must address relevant gender disparities.
- 2) **Environmental** – must incorporate environmental impact recommendations.
- 3) **Sustainability** – must analyze key sustainability issues and considerations around a host of issues.

# Obligation and Implementation Mechanisms

**Obligation  
(Bilateral Agreement)**



**DOAG**

**Sub-obligation**

Partner Country  
Funding Agreement

USAID-Managed Awards  
(OAA)

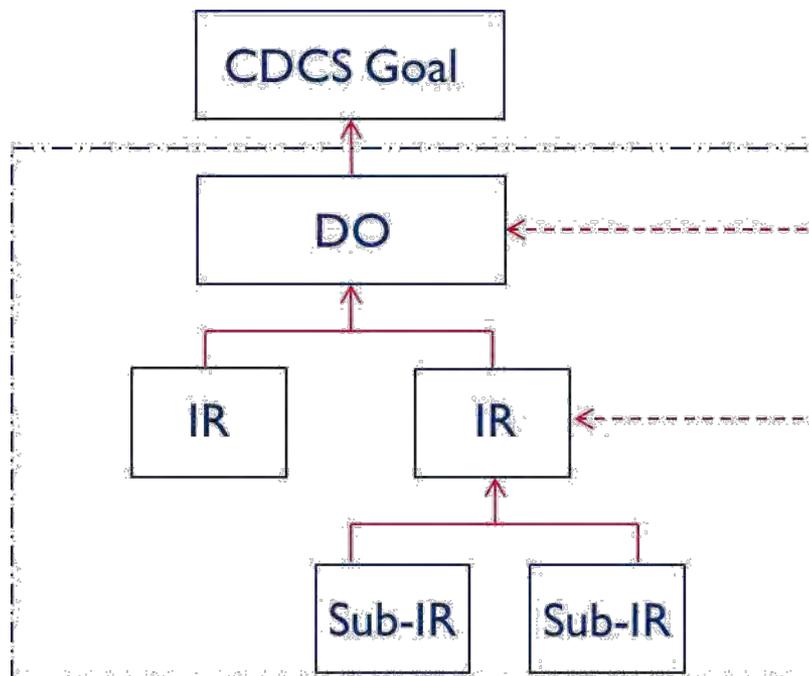
Direct Support to  
International  
Organizations and  
other Donors

**OTHER MECHANISMS:**

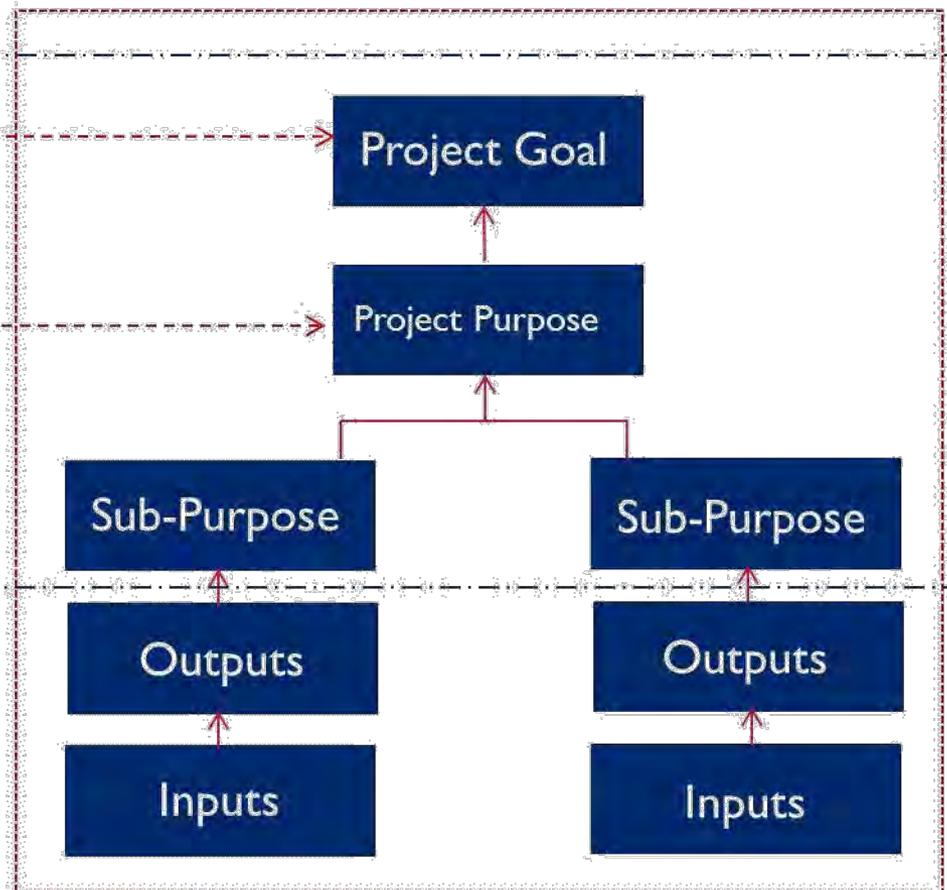
- DCA
- Public/Private Partnership
- Transfer Agreements to other USG Entities

# Strategic Links for Projects

## Results Framework



## Logical Framework



# QUIZ - CDCS and Project Design

Question 1 of 3

What is the purpose of the CDCS?

Please select all that apply.

- Supports U.S. foreign policy priorities
- Ensures strategic alignment with host country development priorities and promotes mutual accountability
- Focuses on achieving development results that have clear and measurable impacts
- Incorporates USAID's Policy Framework for 2011-2015, Agency-level policies and strategies, Presidential Initiatives, and USAID Forward
- Defines a Goal, Development Objectives, Intermediate Results, and Performance Indicators through a Results Framework and supporting narrative
- Defines associated resource priorities

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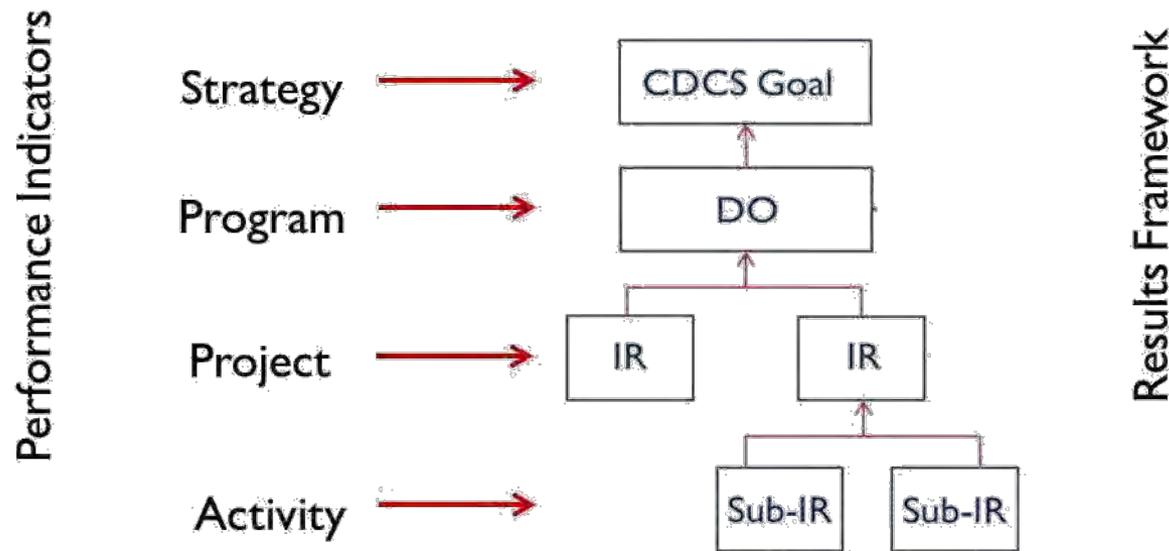
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## USAID's Integrated Program Cycle: Performance Monitoring



## Performance Monitoring - Overview

- Performance monitoring is the ongoing and routine collection of performance indicator data.
- Performance indicators track what has changed but do not explain why results are occurring (or not).
- A Mission's Performance Management Plan includes indicators included in the CDCS, which are then updated with additional data as projects are designed.
- Performance indicators are intended to capture changes at all levels in the Results Frameworks and Logical Frameworks.





## Tracking all Results in a Results Framework

The Results Framework (RF) usually will have results supported by others, not just those supported by USAID. If these results are not achieved, the overall program may not be realized.

Results not solely supported by USAID need to be tracked through indicators.

More than just results in the RF need to be tracked:

- Assumptions
- Game changers
- The external context

## Introduction

Another way to think about the various levels of performance monitoring is like a pyramid. There is much more at the bottom than what is seen at the top.

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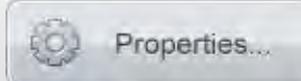
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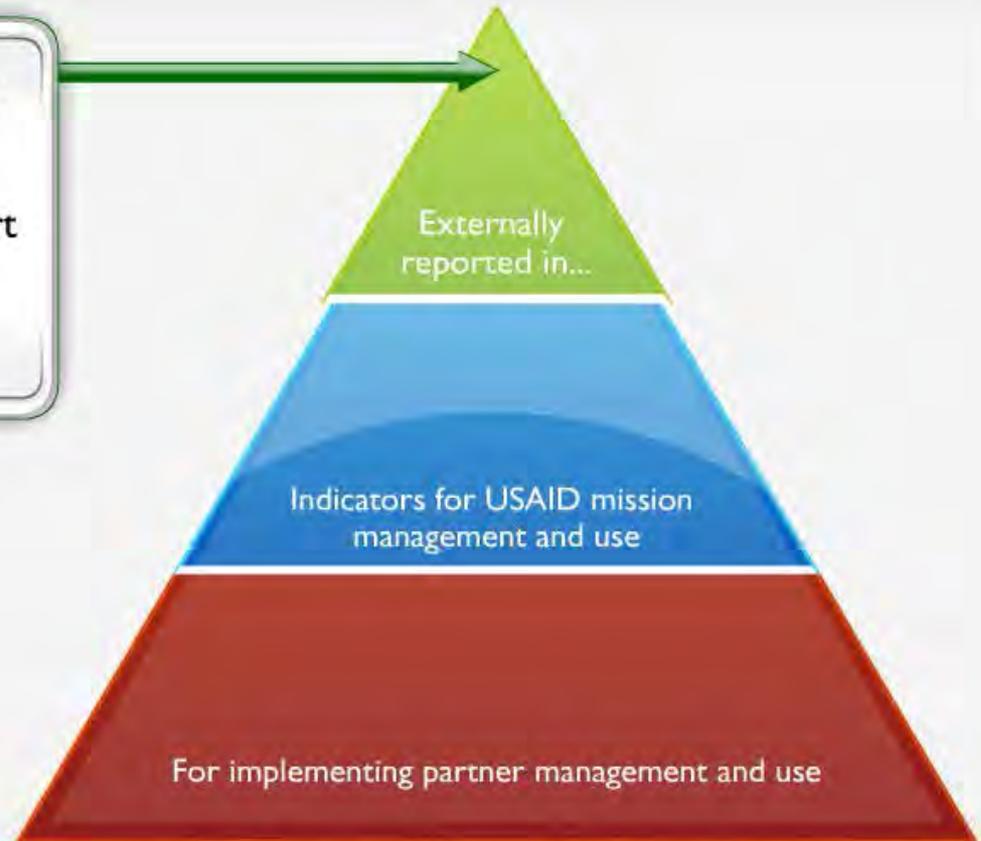
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### Externally reported indicators

**Externally reported indicators**

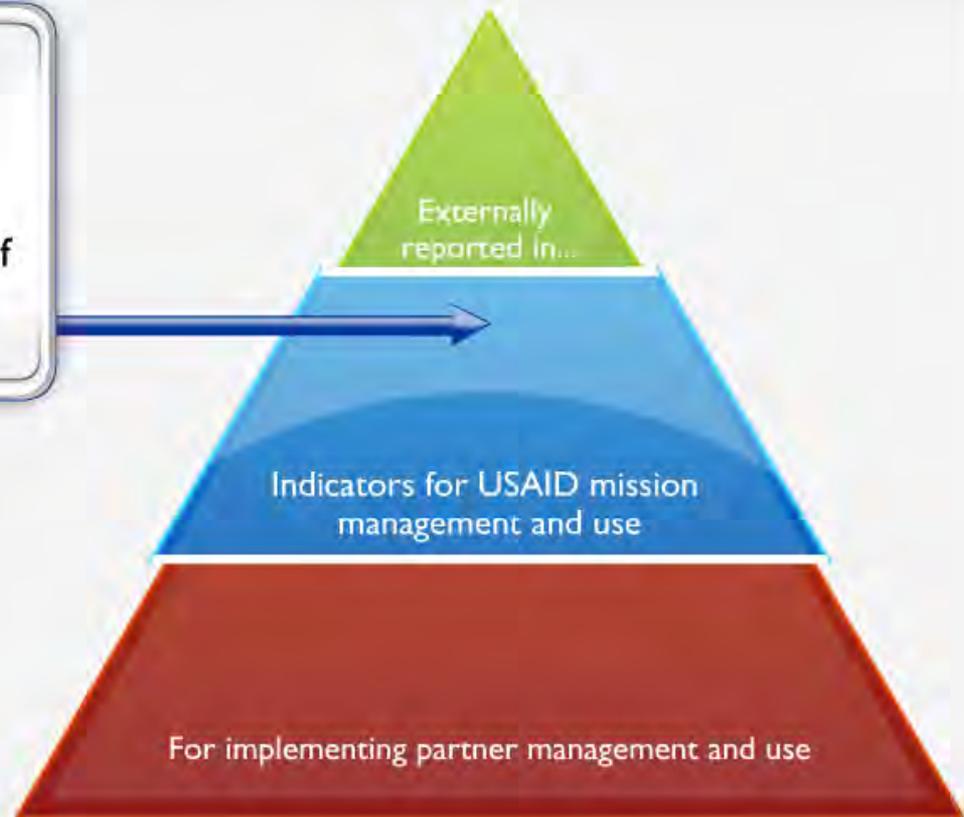
The top layer represents what is reported to Washington in the annual Performance Plan and Report or required Initiative reporting.



## Indicators for USAID mission management and use

### Indicators for USAID mission management and use

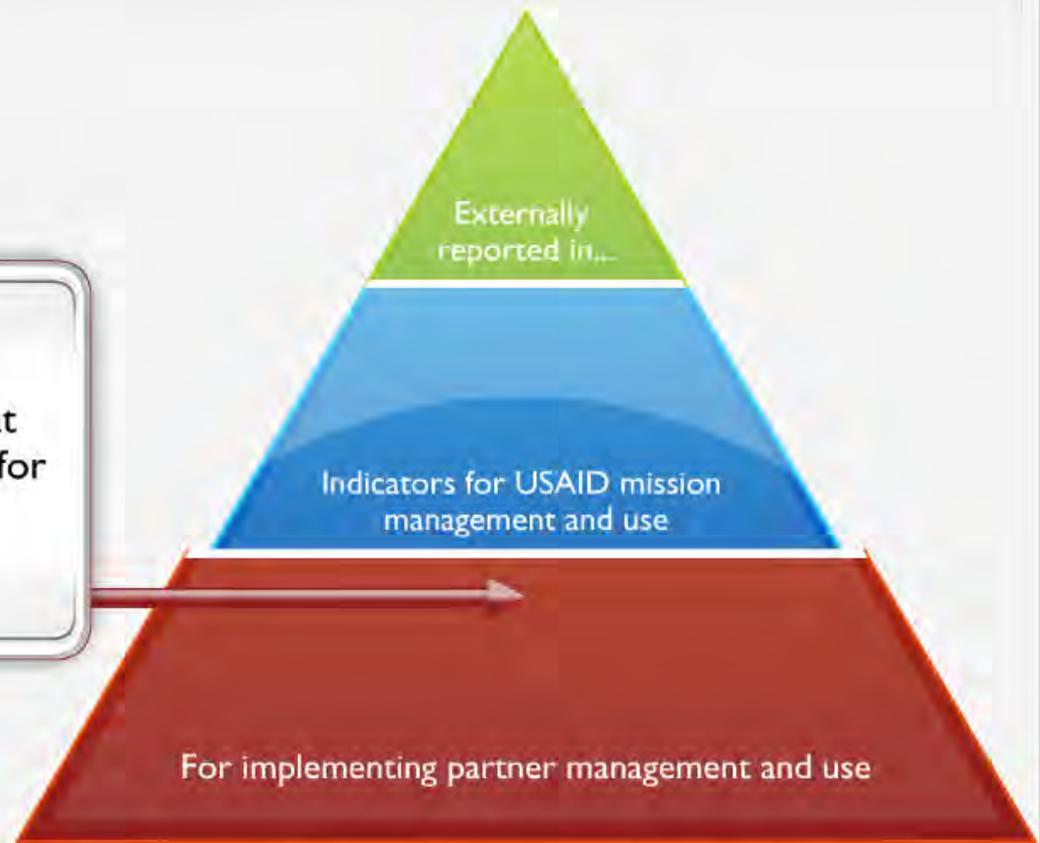
The middle layer of is what the mission most actively uses for management. This is where most of the project level indicators reside.



For implementing partner management and use

**For implementing partner management and use**

Many of the indicators collected at the lowest levels are most useful for implementing partners as they manage activities.



### **Performance indicators should adhere to data quality standards:**

- **Validity** - Data should clearly and adequately represent the intended result
- **Integrity** - Data collected should have safeguards to minimize the risk of transcription error or data manipulation
- **Precision** - Data have a sufficient level of detail to permit management decision-making; e.g. the margin of error is less than the anticipated change
- **Reliability** - Data should reflect stable and consistent data collection processes and analysis methods over time

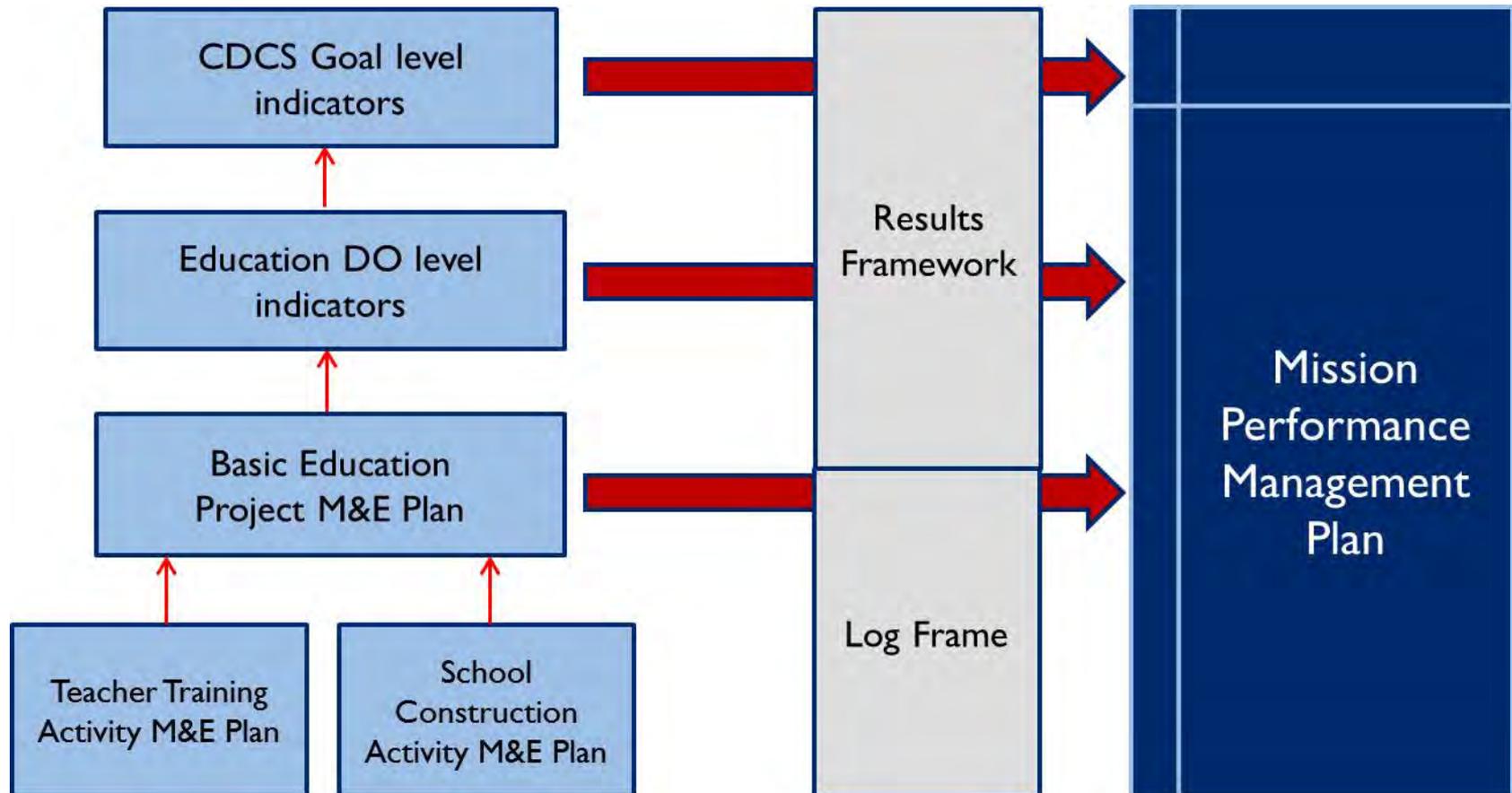
**A Performance Management Plan (PMP) is a tool to plan and manage the process of monitoring and evaluation.**

The Mission should develop the PMP after CDCS approval.

PMPs should include:

- Performance Indicators to measure progress for each level of the CDCS Results Framework and the Project LogFrame
- Context Indicators for tracking the context in which strategies and projects are being implemented
- Data quality assessment procedures
- Evaluation Plan
- Schedule of performance management tasks and responsibilities
- Performance Indicator Reference Sheets

## How Activity and Project M&E Plans feed into Mission PMPs



### **Implementation**

Project implementers submit an activity monitoring and evaluation (M&E) plan within the first few months of an award.

The Portfolio Review should bring together various expertise and sources of evidence to determine whether the program is “on track” or if course corrections are needed to improve the likelihood of achieving results.

It is recommended that Missions should conduct at least two reviews per year.

Portfolio reviews are an opportunity for learning and adapting programs. Some missions have found partner collaboration in one portfolio review a year provides real value.



## USAID's Integrated Program Cycle:

### Evaluation





Evaluation is the systematic collection and analysis of information about programs and projects as a basis for judgments, to improve effectiveness, and to inform programming and management decisions.

- Monitoring data – what happened
- Evaluation -- “why” or “why not”
- Evaluation captures unintended consequences and competing explanations for change

Evaluation has two purposes:

- Accountability
- Learning

## When is Evaluation Required?

Evaluations are required for:

- Large projects at or above average dollar value for projects within Development Objectives managed by an operating unit
- Innovative or pilot projects of any size: demonstrate new approaches that are anticipated to be expanded in scale or scope if the approach is proven successful

Evaluations are recommended for:

- Evaluations at the program or sector level, particularly valuable in preparation for the development of a strategy
- Any other time an evaluation is identified by an operating unit as needed for learning or management purposes.



## Required Evaluation Practices

All Evaluation Statements of Work require Mission in-house peer review

Goal of three percent (3%) of program funds allocated to external evaluation.

External to USAID and Implementing Partner. Requires funding be set aside in advance for REQUIRED evaluations outside of grant/contract to implementing partner. Required evaluations are managed by the program office.

The USAID Evaluation Policy is available in the additional references tab above.



## Types of Evaluation at USAID

Performance	Impact
<p>Makes up the majority of evaluations at USAID</p> <p>Uses qualitative and/or quantitative methods determined on the basis of evaluation purpose.</p> <p>Mixed methods are best.</p>	<p>Appropriate when high degree of confidence is needed and if cost effective.</p> <p>Requires a counterfactual or comparison group and uses randomization (experimental) or statistical methods (quasi-experimental)".</p> <p>Measures the change attributable to a given intervention with a high level of confidence.</p>

# QUIZ - Monitoring and Evaluation

Question 1 of 5

What are the three mandatory analyses?

Please select all that apply.

- Sustainability
- Gender
- Disability
- Environmental
- Health
- Conflict

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## USAID's Integrated Program Cycle: Learning and Adapting



# Learning and Adapting and the Program Cycle

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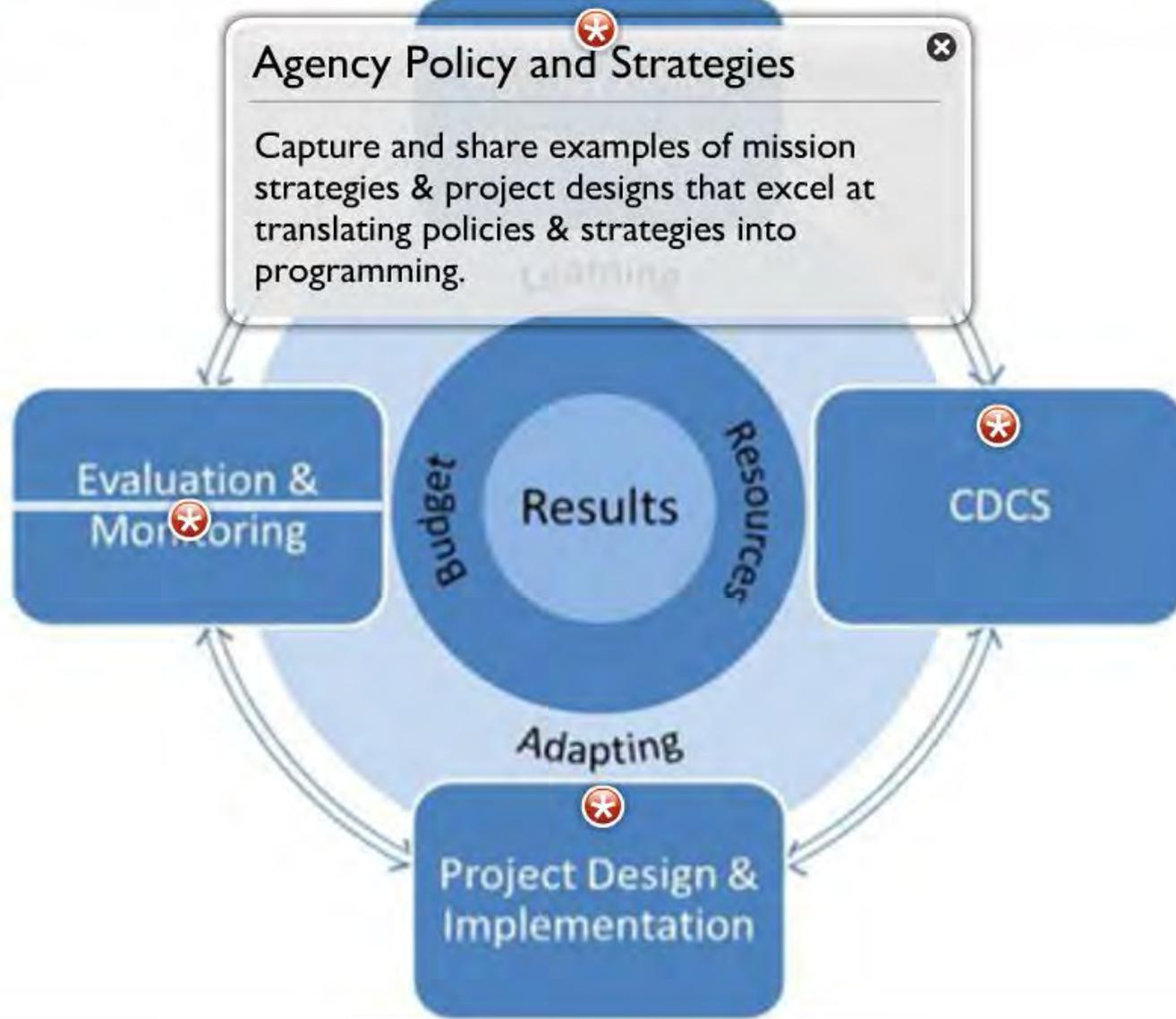
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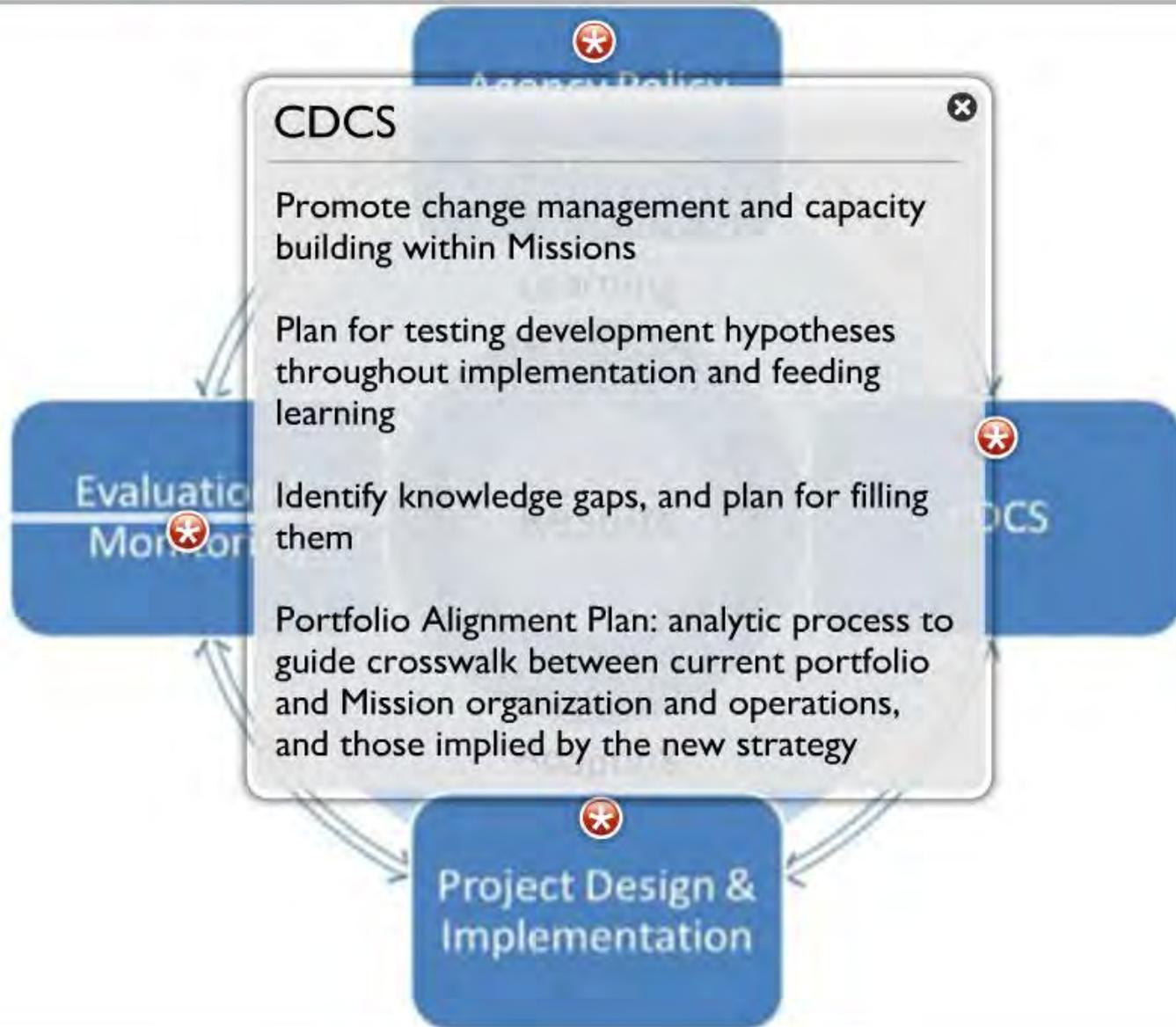


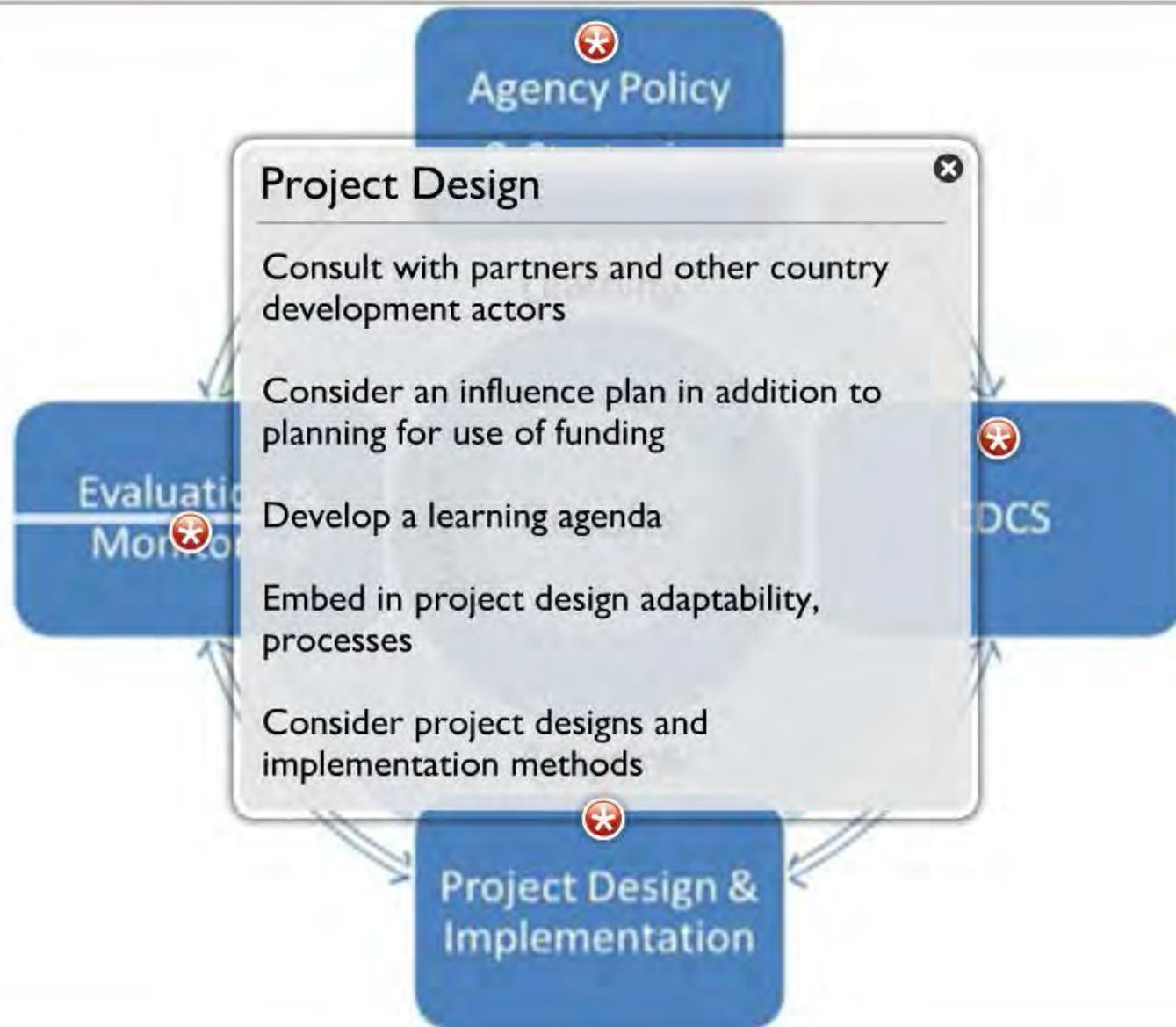
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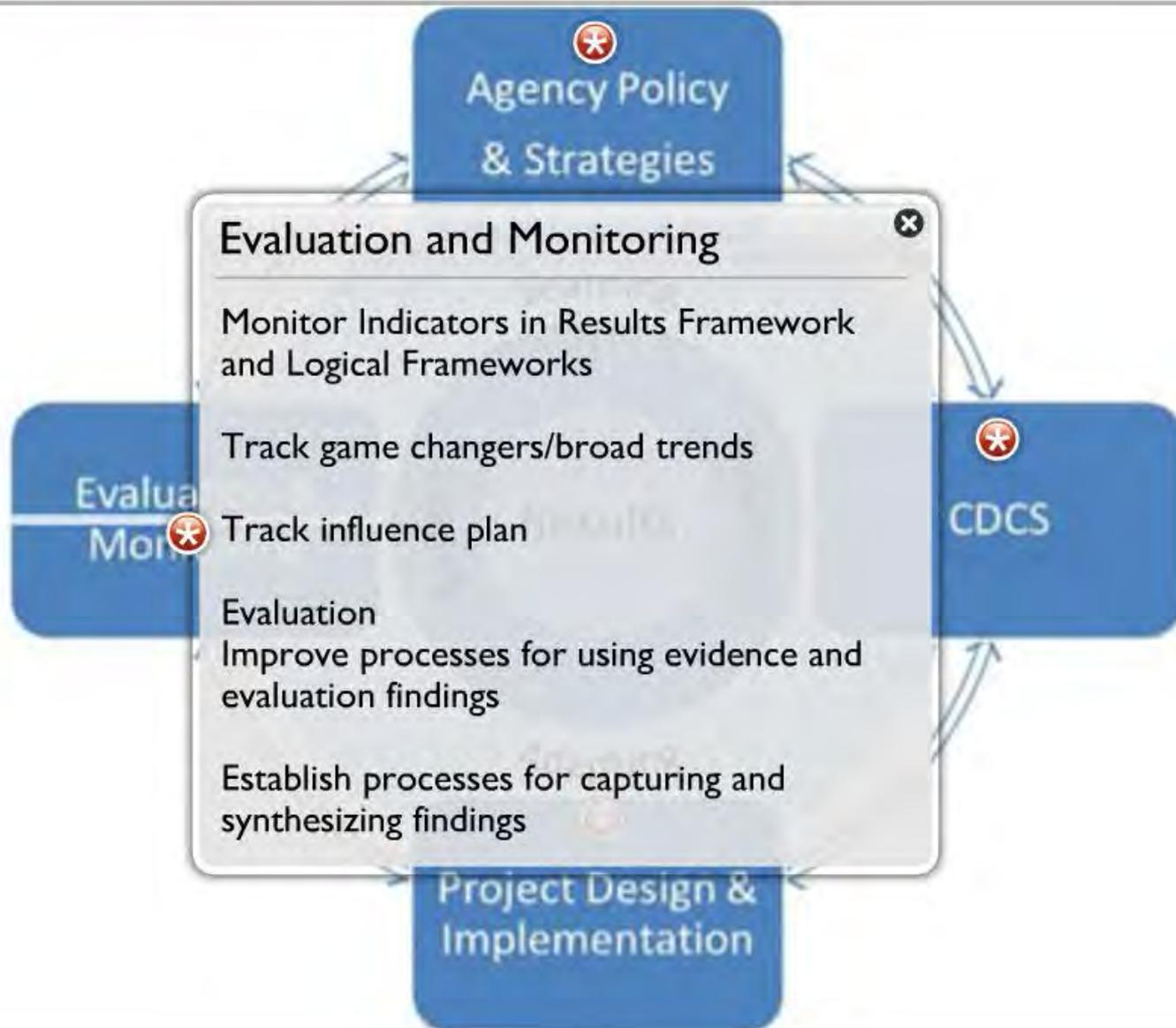


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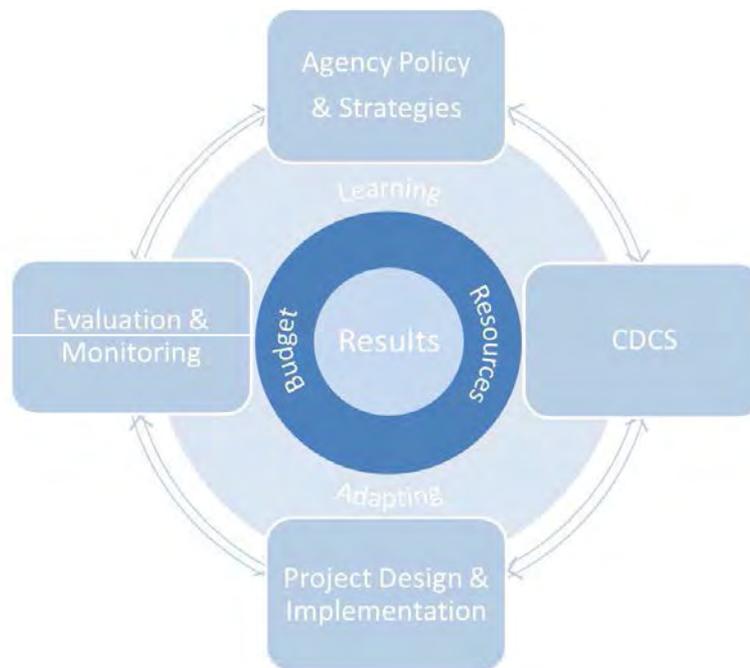






## USAID's Integrated Program Cycle:

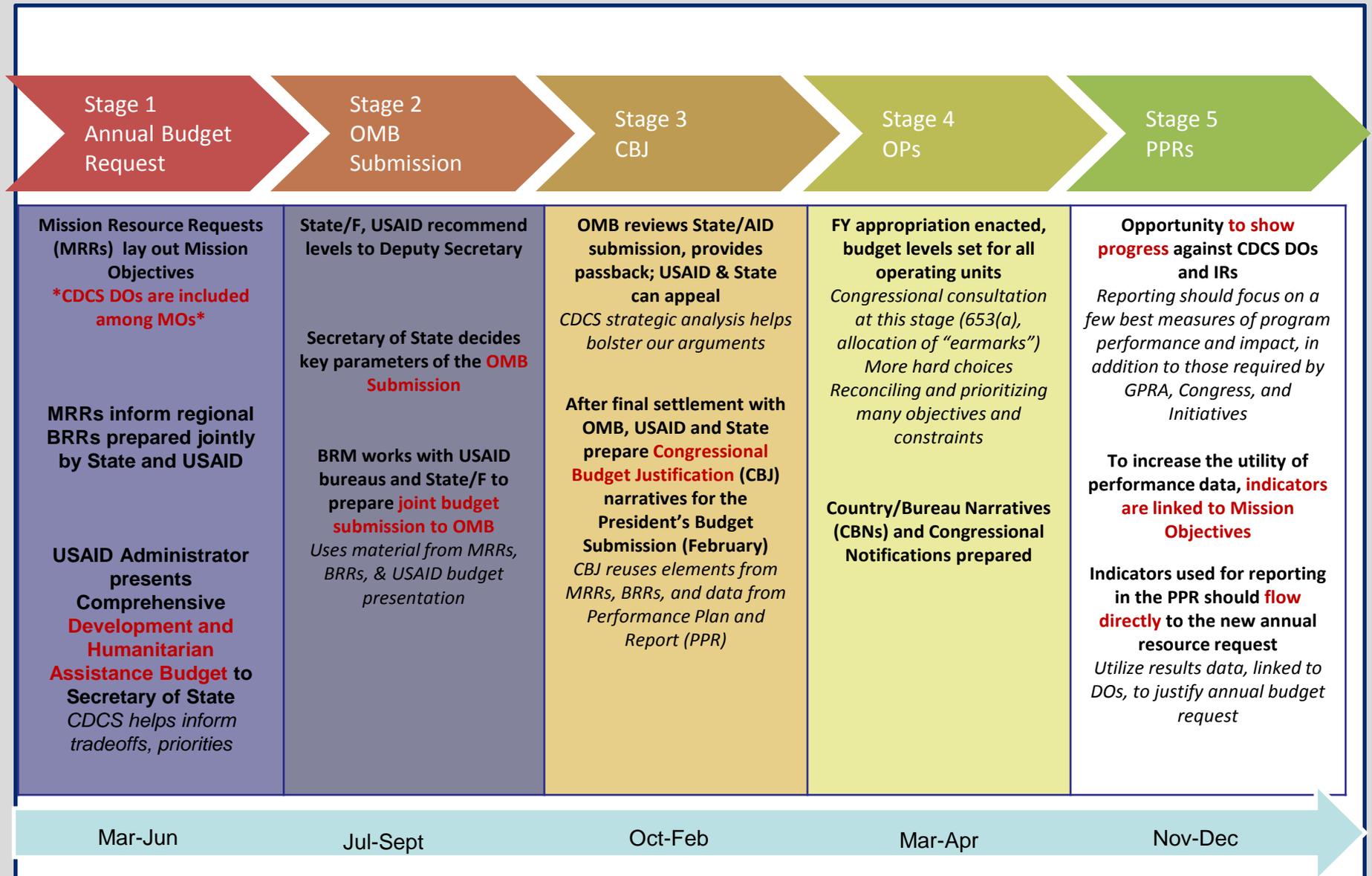
### Budget



## Changes to the Integrated State/USAID planning, budgeting, and reporting

- High-profile deliverable under QDDR and USAID *Forward*
- Separates an annual budgeting from multi-year strategic planning
  - Annual Mission resource requests (MRRs) and bureau resource requests (BRRs), will be made within the context of new multi-year Joint State/USAID Regional Strategies and Integrated Country Strategies
- Saves time, minimizes duplication, and improves quality by:
  - Removing strategic planning effort from annual cycle
  - Strengthening multi-year strategies to inform annual budget requests
  - Moving to a common narrative organization based on “mission objectives”
  - Reusing components, with needed updates, across multiple reporting needs
  - Reducing number of performance indicators and aligning them with country strategies

# USAID Role in Annual Integrated Budget Cycle



## Introduction

This slide outlines broadly how objectives defined through the strategic planning process inform and flow through the annual foreign assistance budgeting, planning and reporting cycle.

This timeline shows five stages of the process:

Stage 1 - Annual Budget Request

Stage 2 - Submission to the Office of Management and Budget (OMB)

Stage 3 - Congressional Budget Justification (CBJ)

Stage 4 - Operational Plans (OPs) and Country/Bureau Narratives (CBNs)

Stage 5 - Performance Plan and Report (PPR)

Please click along the timeline for more detail



1 - Request



2 - OMB



3 - CBJ



4 - OPs and CBNs



5 - PPR

## Annual Budget Request

### March - June

- MRR & BRR guidance issued by Deputy Secretary for Management & Resources
  - Significant input from USAID/BRM as well as State/F and State/RM, including reference to Agency priorities, policies and strategies
- MRRs prepared under Chief of Mission authority and includes State Operations funding as well as foreign assistance
  - USAID Mission Staff generally play key role for the development component
- Regional BRRs prepared jointly by State and AID
  - Based on review of MRRs as well as regional strategic priorities
- USAID Pillar Bureaus and Independent Offices also prepare BRRs
- USAID Administrator presents Comprehensive Development and Humanitarian Assistance Budget to Secretary of State
  - Based on review of MRRs, BRRs, and Administrator Priorities; and (in theory) PPR

## Annual Budget Request

1 - Request

2 - OMB

3 - CBJ

4 - OPs and CBNs

5 - PPR

## OMB Submission

### July - September

- State/F reviews the USAID budget proposal and joint BRRs and in consultation with BRM, recommends levels to Deputy Secretary
- USAID Administrator has an opportunity to reclama
- Secretary of State makes decisions on key parameters of the OMB Submission
- BRM works with USAID bureaus and State/F to prepare joint budget submission to OMB, reusing material from the MRRs, BRRs, and the USAID budget presentation, with needed updates and modifications

### OMB Submission

1 - Request

2 - OMB

3 - CBJ

4 - OPs and CBNs

5 - PPR

## Congressional Budget Justification

### October - February

- OMB reviews State/AID submission and provides passback after Thanksgiving
- USAID negotiates with State to arrive at a joint appeal of the USAID passback
- After final settlement with OMB, USAID and State prepare Congressional Budget Justification (CBJ) narratives for the President's Budget Submission in February
- CBJ reuses elements from MRRs, BRRs, and data from Performance Plan and Report (PPR)
- FY 14 CBJ will be organized by mission objective (with crosswalk to F framework), enabling a much clearer presentation of country strategy and the relation of resources to development impact

### Congressional Budget Justification

1 - Request

2 - OMB

3 - CBJ

4 - OPs and CBNs

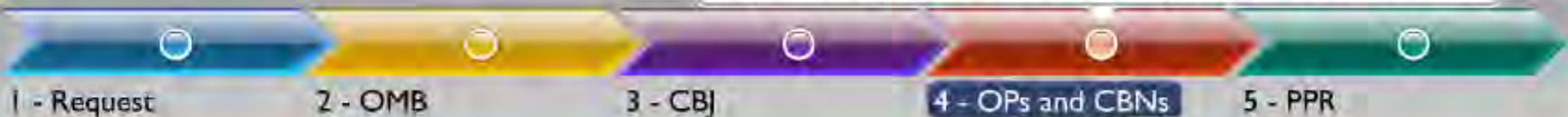
5 - PPR

## Operating Plans and Country/Bureau Narratives

### March - April

- Once an appropriation is enacted, BRM and F work to establish budget levels for all operating units
  - Based on input from regional and pillar bureaus
  - Section 653(a) of the Foreign Assistance Act and annual Appropriations language requires Congressional consultation
  - Allocation of Congressional directives (“earmarks”) occurs at this stage
    - “Hard earmarks” (“shalls”) must be met
    - “Soft earmarks” (“shoulds”) require political judgment
- Operating Units prepare Operational Plans following F guidance with BRM input
- Country/Bureau Narratives (CBNs) (which may serve as Congressional Notification) are prepared
  - BRM and F provide early feedback on whether the budget table and key issues are complete and accurate, in order to allow the CBN process to start earlier

### Operating Plans and Country/Bureau Narratives

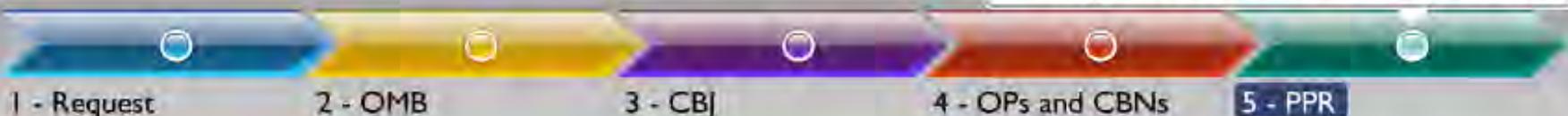


## Program Performance Monitoring

### November - December

- PPRs are prepared by Operating Units in December
  - USAID oversight of program performance monitoring has moved from M/MPBP to PPL/LER
- Missions will restrict their reporting to a few best measures of program performance and impact, in addition to those required for Government Performance and Results Act (GPRA) reporting to Congress and Initiative reporting
  - Whenever possible, the reported indicators should be the same as those being used to manage program performance
- To increase the utility of performance data, indicators linked to Mission Objectives
- Indicators used for reporting in the PPR will flow directly to the new annual resource request and throughout the integrated cycle
- After an extensive review and effort to reduce and improve the standard FA

### Program Performance Monitoring



# QUIZ - Budget

Question 1 of 2

Mission Resource Requests are multi-year plans including a strategy of the whole USG in the country as well as planning budget requests for three-year out.

- True
- False

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