



# ADS Chapter 200

## Introduction to Programming Policy

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**Functional Series 200 – Programming Policy**  
**ADS 200 – Introduction to Programming Policy**

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## ADS 200 – Introduction to Programming Policy

### 200.1 OVERVIEW

Effective Date: 09/01/2008

This chapter provides an overview to the Automated Directives System (ADS) Series 200, which covers USAID's programming policy. Programming policy guides the way in which USAID plans and designs programs to achieve development results, implements those programs, and assesses them. It includes the two following types of policies:

- **Operations Policy:** USAID's use of procedures and methods to plan, achieve, assess, and learn from its programs. (Covered in [ADS 201-203](#) and the Mandatory References in [200.4](#).)
- **Development Policy:** Policy regarding the content of USAID programs, developed in accordance with the Joint State-USAID Strategic Plan and the Foreign Assistance Framework; recommended practices for addressing particular development challenges; and policy directives and required procedures affecting specific aspects of program design and implementation. (Covered in [ADS 204-299](#) and the Mandatory References in [200.4](#).)

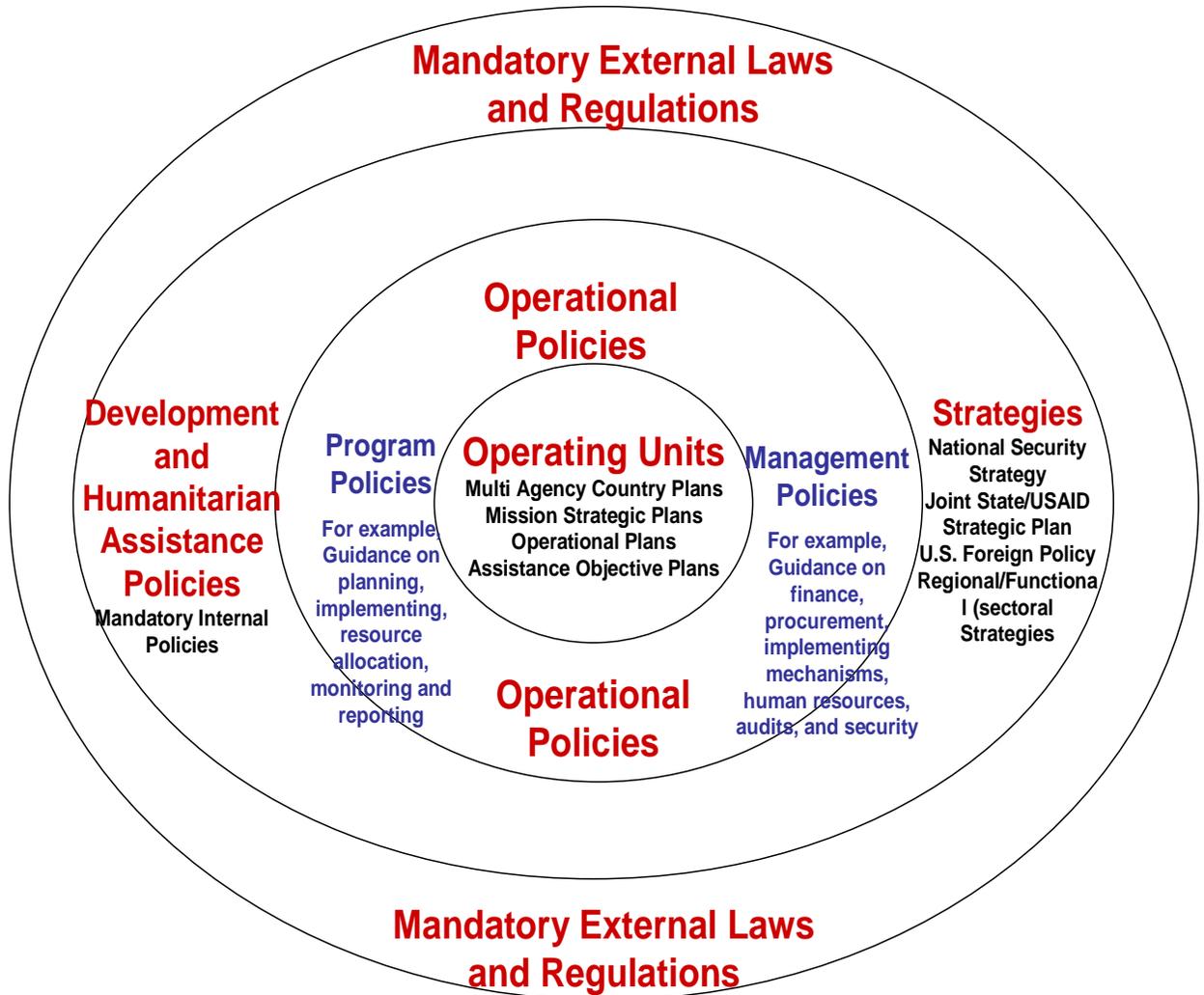
This chapter outlines the general principles that govern USAID's results-based programming system. It includes a:

- Statement of organizational roles and responsibilities;
- Vision of transformational diplomacy that guides ongoing foreign assistance reform and improvement efforts;
- Description of results-based programming;
- Description of guiding principles;
- List of additional programming policies organized by topic area; and
- Definitions.

USAID's program design and execution is governed by a hierarchy of policies and strategy documents, as shown in Figure 200A: Programming Policy and Strategy Architecture.

\*An asterisk in this document indicates that the material is new or substantively revised.

## Programming Policy and Strategy Architecture



### 200.2 PRIMARY RESPONSIBILITIES

Effective Date: 09/01/2008

a. The **Administrator (A/AID)** formulates and executes U.S. foreign assistance policies and programs, subject to the foreign policy guidance of the President, the Secretary of State, and the National Security Council. Under the direct authority and foreign policy guidance of the Secretary of State, the Administrator serves as a principal advisor to the President and Secretary of State regarding international development and humanitarian assistance matters. He/she administers appropriations made available

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under the Foreign Assistance Act of 1961, as amended, and supervises and directs overall Agency activities in the United States and abroad.

The **Office of the Administrator (A/AID)** provides overall direction to the Agency in its administration of the U.S. foreign assistance programs and the appropriations made available for such purposes under the Foreign Assistance Act of 1961, as amended. A/AID also houses the **Office of the Chief Operating Officer (A/AID/COO)**, which serves as the focal point for the Agency's transformational reform processes. With direction from the Administrator and Deputy Administrator, the Chief Operating Officer (COO) is responsible for directing policy, operational, and management priorities and shaping the Agency's overall strategic direction and business model.

A/AID/COO includes the **Program Analysis and Coordination unit (A/AID/COO/PAC)**. The PAC is responsible for Agency-level program policy coordination, which includes:

- Developing and obtaining Agency approval for development and humanitarian assistance policies, and ensuring that policy directions are implemented;
- Coordinating program planning processes internally and with the Department of State's Office of the Director of Foreign Assistance (State/F);
- Developing and interpreting Agency programming policies, and issuing guidance and procedures as necessary; and
- Preparing Agency-level analyses of emerging development and humanitarian issues.

**The Director of Foreign Assistance (DFA)** holds a rank equivalent to Deputy Secretary in the Department of State and may serve concurrently as the Administrator of USAID. The DFA has authority over all Department of State and USAID foreign assistance funding with continued participation in program planning, implementation, and oversight from the various Bureaus and Independent Offices within State and USAID, as part of the integrated interagency planning, coordination and implementation mechanisms. The DFA:

- Develops a coordinated U.S. Government (USG) foreign assistance strategy under which country Operating Units develop multi-year, country-specific assistance strategies and annual country-specific operational plans;
- Creates and directs the consolidated policy, planning, and budget processes required to provide overall leadership to foreign assistance; and
- Coordinates with foreign assistance programs delivered through other agencies and entities of the USG, including the Millennium Challenge Corporation (MCC) and the Office of the Global AIDS Coordinator.

**b. Operating Units** are the organizational units responsible for implementing a foreign assistance program for one or more elements of the Foreign Assistance Framework. The definition includes all USG agencies implementing any funding from the relevant foreign assistance accounts. In the field, these agencies work collaboratively under the authority of the U.S. Ambassador. USAID Operating Units include USAID Missions, regional platforms and USAID/Washington Bureaus and Independent Offices (henceforth referred to as USAID Missions/Offices) that expend program funds to achieve foreign assistance objectives. The head of each USAID Mission/Office establishes Assistance Objective Teams (AO Teams) that have the capacity to manage foreign assistance programs and ensures that AO Teams have the necessary expertise, authorities, resources, and support to carry out their mandate.

**c. USAID Missions** are the locus of USG development leadership and expertise in the countries where they are established. They are the lead agency in the joint USG Operating Unit for identifying, analyzing, designing, and managing development programs. The Director of the USAID Mission is the first point of contact with USAID for the U.S. Ambassador.

Through their in-depth knowledge of host country development issues and ongoing dialogue with leaders in the public and private sectors, USAID Missions provide perspective and advice on country-context issues. They have the ability to identify opportunities to leverage other donor and private sector resources—both U.S. and in-country—to pursue joint development goals. USAID Missions:

- Plan, design and manage programs, projects, and activities;
- Collaborate with USAID/Washington and the DFA on budget decisions and policy as it relates to their specific country;
- Coordinate with the host government and with other donors to promote aid effectiveness;
- Coordinate with other USG agencies in the field, such as the Centers for Disease Control, on program design and implementation;
- Collaborate in the implementation of Millennium Challenge Account Compact Assistance and threshold programs;
- Monitor and evaluate program and project performance and disseminate lessons learned to improve understanding of development dynamics; and
- Report on results.

**d. Assistance Objective Teams** (AO Teams) conduct analyses as required to identify key opportunities and constraints in the priority areas in which they work; plan and design Assistance Objectives (AOs) to achieve tangible development results and impact; manage and monitor the implementation of these AOs; and report on and evaluate performance. They ensure that all accountability requirements related to use of foreign assistance resources assigned to them are identified, met, and adequately documented.

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**e. Regional Bureaus** are the main link between Washington and the field. They are the primary point of contact with the Department of State's Office of the Director of U.S. Foreign Assistance (State/F) and Regional Bureaus, other USG agencies, international donors, and multilateral organizations regarding foreign assistance policy, budget, and programmatic issues pertaining to the region. Regional Bureaus operate within the context of the objectives and priorities established by USAID and State/F, and with the technical support and guidance of USAID's Pillar Bureaus.

Regional Bureaus are responsible for informing foreign assistance policy and budget decisions, based on regional and country expertise and analyses. They work in tandem with State/F, the State Regional Bureaus, and USAID Missions to build, justify, and implement integrated foreign assistance budgets. As part of this process, Regional Bureaus articulate foreign assistance programmatic and funding priorities for countries and cross-border programs in the region and represent USAID Missions' perspectives on budget priorities.

Regional Bureaus also play a critical role in translating State/F and Agency programming guidance into regional operational guidance and procedures and responding to field Missions' questions regarding this guidance. As the main point of contact for field Missions, Regional Bureaus represent them to relevant stakeholders in Washington (that is, Congress, the public, non-governmental organizations, and host country embassies).

Additional specific Regional Bureau functions include:

- Providing regional and country expertise and perspectives when required in Agency decision-making processes;
- Providing the principal point of Agency contact with regional Bureaus in the Department of State and other regionally focused development organizations within and outside of the USG;
- Approving USAID country strategic plans and Assistance Objectives with input from pillar bureaus and key independent offices;
- In collaboration with Pillar Bureaus, developing technical strategies and providing input into the formulation of guidance on related Agency policy development;
- Executing their assigned portion of the integrated budget and accounting for USAID funds flowing to the region;
- Recommending the allocation of operating expenses among USAID Missions/Offices within their region for final approval by the Administrator;
- Supporting field program design and implementation in collaboration with the Pillar Bureaus;

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- Ensuring compliance with region-specific statutory requirements, Presidential initiatives, reporting, etc.;
- Evaluating the performance of Bureau staff in Washington and the field;
- Coordinating, at the regional and country level, with other international donors and financial organizations, in collaboration with the Office of Development Partners;
- Collaborating with the Bureau for Democracy, Conflict and Humanitarian Assistance in supporting the Agency's response to humanitarian and political crises;
- Managing regional programs in coordination with USAID Missions and Pillar Bureaus;
- Managing non-presence programs or any other programs that are not managed in the field or in other USAID/Washington Bureaus, as needed; and
- Monitoring both regional and country-specific programs in the field, and conducting periodic reviews and evaluations of USAID's performance toward achieving broad program objectives within their respective regions.

**f. Pillar Bureaus** are the locus of technical leadership for the Agency. They draw on the knowledge of the most recent advances in their respective technical fields and share that knowledge throughout the Agency. Their primary functions are to identify and disseminate best practices to USAID's Regional Bureaus and field Missions and to manage central mechanisms that support the design, implementation, and evaluation of field programs.

In addition, Pillar Bureaus are responsible for developing and implementing programs that benefit many countries simultaneously and cannot be efficiently managed by a regional platform or Regional Bureau, including support to research and program innovations, such as research to develop microbicides against the HIV virus or new agricultural varieties of particular benefit in developing countries. Pillar Bureaus investigate and produce innovations and develop pilot projects for wider application, in close collaboration with the technical staff of the Regional Bureaus.

The Pillar Bureaus are further vested with responsibility for supporting multi-party partnerships, such as the clean energy Methane-to-Markets program and multi-lateral and international organizations, such as the United Nations and the Global Fund to Fight AIDS, Tuberculosis, and Malaria.

Pillar Bureaus support programs managed centrally but implemented at the country level, for example the President's Emergency Plan for AIDS Relief for which strategic

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direction and accountability for results are provided from Washington, but for which the field determines implementation mechanisms, including grantees and contractors.

Additional specific Pillar Bureau functions include:

- Recommending to State/F—in collaboration with Regional Bureaus—the distribution of funding, within their respective areas of expertise, among USAID Missions;
- Executing and managing the portion of the integrated budget for which they are responsible;
- Executing and managing contingency funding accounts to respond to evolving and/or unforeseen circumstances, such as immediate post-conflict operations, international disasters, or pandemic influenzas, in close consultation with USAID Missions and Regional Bureaus, as appropriate;
- Providing technical support and advice for the design, implementation, and evaluation of technical strategies and programs at the request of Regional Bureaus and USAID Missions in the field;
- Developing technical strategies in collaboration with Regional Bureaus and providing guidance in the formulation of related Agency policy development and resource allocation;
- Designing and implementing selected programs that address newly emerging global issues;
- Developing and managing programs to provide core technical support services for Agency-wide access;
- Maintaining communication with relevant professional communities, the Agency's development partners, and other USG agencies to keep them apprised of developments in relevant technical fields; and
- Ensuring professional management of the Agency's technical and scientific staff, including assisting in recruitment, training, assignment, and career development.

**g. Regional Platforms** provide the following services to their client USAID Missions:

- Administrative support services such as legal, financial management, executive management, and procurement;
- Limited, specialized technical assistance and/or program assistance when client Missions have limited full-time equivalent staff capacity;

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- Comprehensive, administrative, programmatic, and technical support to “non-presence” countries; and
- Management oversight to regional programs and cross-border issues.

These functions are provided through four major **types** of regional platforms, even though there may be slight variations of the models:

- **The Regional Service Support Centers (RSSC):** The primary function of an RSSC is to provide support services to a number of other posts, including contracting, legal, financial management, administrative, program planning, and technical services as needed. They typically manage regional programs as well as country programs in non-presence countries. They may also provide support services to Embassies, both in USAID presence and non-presence countries, within their sub-region. RSSCs are typically stand alone operations, not co-located with country-based USAID Missions.
- **The Hub-and-Spoke Model:** One central platform serves as the only USAID Operating Unit for one or more additional countries. These hubs provide support services and technical assistance (including planning, project design, and program coordination) for multiple bilateral programs managed from the hub. They can have one or more “spokes” (satellite units). The satellite units typically have minimal U.S. Direct Hire (USDH) presence—perhaps 0 or 1 personnel.
- **Regional Missions:** They are located in the same country as a bilateral USAID Mission (in contrast to RSSCs), but have staff members designated as “regional” who provide administrative, technical, and program support services to client USAID Missions—typically small and medium Missions and non-presence countries. Regional Missions may also provide support and program services to full-sized USAID Missions when appropriate and usually oversee regional programs (for example, Presidential Initiatives) that cross borders.
- **“Twinning” (also called “Matrix Missions”):** This refers to USAID Missions with similar programs located near one another sharing staff resources (for example, a USDH education officer in one country might provide backstopping and mentoring to a less senior officer, a Personal Services Contractor (PSC), or a Foreign Service National (FSN) in a neighboring Mission). The services provided may include contracting, legal, financial management, administrative, program planning, and technical services. The current arrangement is often “one-way twinning” where a larger USAID Mission shares its staff resources with a smaller Mission or non-presence country.

Note: The Agency is in the process of refining and expanding its use of regional Centers/Platforms. Supplemental guidance will be issued when available.

**h. The Bureau for Management (M)** provides centralized program and management support services for the Agency. It ensures that the Agency's core systems related to financial accounting and management, acquisition and assistance, and information management are adequately integrated and support programming processes. The Bureau houses several offices, including:

- The Office of the Chief Financial Officer (M/CFO), which ensures the compilation of financial data to enable effective performance measurement and management decision-making;
- The Office of Acquisition and Assistance (M/OAA), which plans, coordinates, and develops comprehensive operating policies, procedures, and management systems to improve the efficiency and quality of the USAID procurement system; and
- The Office of Management Policy, Budget and Performance (M/MPBP), which is the Agency's central unit for administrative budget planning and implementation, management policy formulation, and performance management and evaluation. The Office:
  - Oversees program and management performance management, planning, and reporting, and monitors Agency compliance with program guidance, results regulations, and reporting requirements, as needed;
  - Manages the Agency's operational expense (OE) and program administrative budget and provides budget-related technical guidance and assistance to all Agency Bureaus;
  - Develops standard operating procedures and operational guidance related to management, administrative budget, and performance management and evaluation, and manages the Agency's Automated Directives System (ADS);
  - Coordinates the preparation of the Agency's annual Performance and Accountability Report (PAR), the Performance Assessment Rating Tool (PART) programs, and the President's Management Agenda initiatives;
  - Partners with other Agency Bureaus and Offices to develop evaluation procedures and implementation strategies and disseminates information on program outcomes, findings, and recommendations for enhancing program effectiveness.
  - The Overseas Management Staff (M/OMS), which supports the management functions that underpin USAID's field offices overseas.

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In that effort, M/OMS serves as business advisor to AA/M and M Bureau Offices in promulgating sound management choices.

i. **The Bureau for Legislative and Public Affairs** has primary responsibility for communicating with external stakeholders, including Congress and the American public.

j. **The Bureau for Foreign Assistance (FA)** has been established to receive, manage, and account for USAID human resource, contract, and budgetary support for State/F as it creates and directs the policy, planning, budget, and implementation mechanisms required to provide overall leadership for foreign assistance in support of transformational diplomacy. This Bureau includes all USAID personnel, positions, allocated funds and other resources directed to support State/F.

k. **Independent Offices**

(1) **The Office of Human Resources (HR)** provides leadership and direction in defining and managing the USAID workforce planning process; plans, develops, and manages the administration of human resources for the Agency; designs and implements traditional and selected state-of-the-art training programs and events to enhance the knowledge, skills, and performance of the Agency's workforce; and undertakes human capital initiatives in support of Agency reform efforts.

(2) **The Office of General Counsel (GC)** and its Regional Legal Advisors (RLA) provide legal support and advice to Agency Offices and Missions/Offices on the full range of operational matters pertaining to USAID programs.

(3) **The Office of Development Partners (ODP)** advances USAID's programmatic objectives in the development community. It oversees the work of USAID's representatives to multilateral organizations and coordinates international and regional meetings with key development partners. It supports the Administrator in his/her role as a permanent Board Member of the Millennium Challenge Corporation (MCC) and serves as a central point for the coordination and implementation of MCC interventions for the Agency. It also leads the Global Development Alliance (GDA) initiative and provides support and services to Agency staff and partners working to develop strategic alliances with the private sector. As requested by the Office of the Director of Foreign assistance, this Office supports the promotion of the broader strategic USG foreign assistance agenda across a wide variety of multilateral institutions, bilateral agencies, and private donors.

(4) **The Center for Faith-Based and Community Initiatives (CFBCI)** seeks to identify and remove regulatory, contracting, and other programmatic and policy obstacles or barriers that faith-based and community-based organizations encounter when competing for federal funds. The Center also educates Agency

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Offices and Operating Units on the Initiative and conducts outreach and technical assistance to faith-based and community organizations.

- (5) **The Office of Security (SEC)** provides security services to protect USAID personnel and facilities, safeguard national security information, and promote and preserve personal integrity. Some critical functions of SEC are to lead the USAID Counterterrorism Task Force, coordinate counterterrorism activities for the Agency, conduct liaison with the U.S. intelligence community at the national level, and work closely with the U.S. Department of State on diplomatic security matters.
- (6) **The Office of the Inspector General (OIG)** reviews the integrity of operations for USAID, the Millennium Challenge Corporation (MCC), the African Development Foundation (ADF), and the Inter-American Foundation (IAF) through audits, investigations, and inspections. OIG conducts and supervises audits and investigations of these organizations' programs and operations, and recommends policies designed to promote economy, efficiency, and effectiveness and to prevent and detect fraud and abuse.

### **200.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES**

Effective Date: 09/01/2008

#### **200.3.1 Performance-Informed and Results-Based Programming at USAID**

Effective Date: 09/01/2008

##### **200.3.1.1 History of Programming System**

Effective Date: 09/01/2008

At its creation in November 1961, the Agency for International Development unified the already existing economic and technical assistance operations of several government agencies, becoming an organization whose primary emphasis on long-range economic development and humanitarian assistance efforts would assist other countries to maintain their independence, often newly-won, and become self-supporting.

The Agency's structure and operations evolved over time as the USG's perception of foreign assistance needs and challenges changed. The mid-1990s saw major internal management changes reflecting the objectives of the Government Performance and Results Act (GPRA) of 1993. USAID's operating procedures were streamlined and decentralized; staff at all levels was empowered to make decisions and held accountable for results, service quality, and customer satisfaction.

In 1995, the Automated Directives System (ADS) replaced Handbooks-- a paper-based version of Agency policies--with more flexible guidelines in order to encourage creativity and innovation within a framework of "managing for results." Greater operating flexibility also responded to the requirement for a significant increase in efficiency due to severe operating expense budget constraints.

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USAID also instituted programmatic changes aimed at improving its response to:

- Rapidly changing development, transition, and post-conflict settings;
- Increased need to manage “failed state” transitions;
- New international context with greater cross-border economic opportunities and risks (global trade, health and environmental issues, and international crime and terrorism);
- Greater demand for natural and man-made disaster recovery and mitigation;
- Increased receptivity of host governments to work with non-government entities, and a corresponding rise in the capacity of private organizations to contribute to development processes; and
- Increased importance of traditional and nontraditional development actors, including ethnic diasporas, foundations, corporations, and universities whose aggregate resources outstrip traditional development assistance resources.

In January 2006, following several years of public debate, Secretary of State Condoleezza Rice announced major changes in the way the U.S. government would direct foreign assistance. She presented a vision of “transformational diplomacy” — where the joint mission of the Department of State and USAID is to

*“Advance freedom for the benefit of the American people and the international community by helping to build and sustain a more democratic, secure, and prosperous world composed of well-governed states that respond to the needs of their people, reduce widespread poverty, and act responsibly within the international system.”*

The operational aspect of this vision requires much closer linkages between U.S. security interests, development efforts, and democratic ideals. Therefore, Secretary Rice instituted reforms to:

- 1) Ensure that foreign assistance is used as effectively as possible to meet the broad foreign policy objectives of the USG;
- 2) More fully align the foreign assistance activities carried out by the Department of State and USAID; and
- 3) Demonstrate responsible stewardship of taxpayer dollars.

The primary means of achieving the desired alignment between the Department of State and USAID is the creation of the position of Director of U.S. Foreign Assistance (DFA), with a rank equivalent to Deputy Secretary in the Department of State. Since 2006, the incumbent has concurrently held the position of Administrator of USAID.

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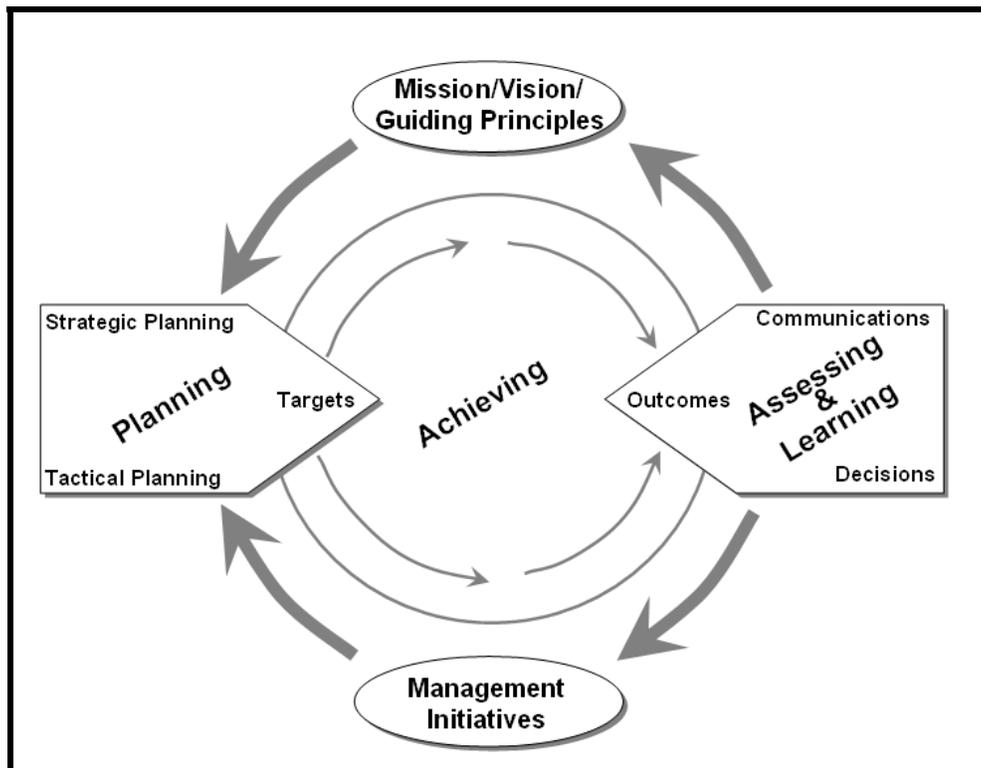
### 200.3.1.2 Overview of Programming System

Effective Date: 09/01/2008

As mandated by the Government Performance and Results Act (GPRA), federal agencies are accountable for achieving program results by defining program goals and measuring performance towards these objectives on an annual basis.

USAID views achieving program results as crucial to maintaining the credibility of the Agency and being accountable to stakeholders. To ensure that all USAID Missions/Offices focus on managing for results, USAID developed a dynamic cycle of management that includes three functions: planning, achieving, and learning. These three functions are illustrated in Figure 200B: Dynamic Model of the USAID Programming System.

**Figure 200B: Dynamic Model of the USAID Programming System**



ADS chapters 201, 202, and 203 will describe these functions in greater detail. However, it is important to point out the following links:

- The Joint State-USAID Strategic Plan (2007 – 2012) and the Foreign Assistance Framework and its Standardized Program Structure and Definitions are the overarching documents that guide planning. USAID collaborated with the Department of State's Office of the Director of U.S. Foreign Assistance and Bureau for Resource Management in developing these documents, to ensure

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that all foreign assistance resources are supporting key foreign policy priorities and are focused on achieving the goal of transformational diplomacy.

- USAID needs to know whether it is successfully meeting its performance goals and must be able to articulate these achievements to external audiences, including Congress, the Office of Management and Budget, other USG agencies, the public, other donors, multinational organizations, host country partners, and non-governmental organizations. The Agency measures progress by selecting performance measures and establishing performance targets for these measures before implementation takes place. Actual data collected regularly for these measures help USAID Missions/Offices stay focused on results throughout the three phases of the programming cycle and determine whether changes need to be made to improve program outcomes.
- Assessing and learning is not the end of the process. Lessons learned from monitoring, measuring, and evaluating performance help USAID Missions/Offices make management and programmatic decisions that may require adjustments to plans. New planning could range from developing a new activity or project to refining program objectives to rethinking the tactics or approach in an entire program area or objective. When possible, these lessons are shared with other USAID Missions/Offices to inform their decision-making.

### **200.3.1.3 Vision and Joint Strategic Planning Framework**

Effective Date: 09/01/2008

The concept of Transformational Diplomacy articulated in the Joint State/USAID Strategic Plan 2007-2012 (JSP)

[http://www.usaid.gov/policy/coordination/stratplan\\_fy07-12.html](http://www.usaid.gov/policy/coordination/stratplan_fy07-12.html), reflects a vision of a relationship rooted in partnership, where the assistance and policies of the United States play a vital and catalytic role in supporting the host countries' own national vision for advancement. Development must engender lasting economic, social, and political progress through a transformation of institutions, economic structures, and human capacity so that nations can sustain further economic and social progress on their own. The primary responsibility for ultimately achieving this transformation rests with the leadership and citizens of the developing nations themselves.

Achieving this vision in a transparent, cost-effective, and accountable manner requires that American diplomacy and foreign assistance function in an integrated fashion. Thus, the JSP establishes a common strategy and focuses resources on the attainment of the goal and objectives of that strategy. Implementing that strategy requires State and USAID to integrate planning, budgeting, programming, and results reporting at every level. This integration ensures that the two government agencies will be able to make decisions on the basis of a full and coordinated picture of how their resources will work together.

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In the JSP, the Strategic Goal section defines the seven primary goals<sup>1</sup> of U.S. foreign policy and development assistance as well as the strategic priorities (Foreign Assistance Program Areas) within each of those goals for the coming years. The Regional Priorities sections reflect how the efforts described in the Strategic Goal chapters contribute to addressing specific regional issues.

The first five of these goals correspond to the five objectives of the Foreign Assistance Framework, reflecting the integrated nature of the work of the two organizations. The Framework divides countries into five categories that represent progressively stronger stages of development. It articulates the end goal of foreign assistance and specifies a graduation trajectory for each category. The Framework identifies the end goal of foreign assistance for countries whose development status corresponds roughly to a development continuum, ranging from “rebuilding” to “sustaining partnership”, specifying a graduation trajectory that leads these countries to eventual sustainable independence from foreign aid.

#### **200.3.1.4 Operational Plans and the Foreign Assistance Framework/ Standardized Program Structure Definitions**

Effective Date: 09/01/2008

On an annual basis, USAID and State Operating Units that implement foreign assistance activities must prepare Operational Plans (OPs). An OP is an Operating Unit’s budget and programmatic proposal for the use of new foreign assistance resources (New Obligating Authority) available to that Operating Unit for a given fiscal year. The purpose of the Operational Plan is to provide a comprehensive, interagency picture of how foreign assistance resources received by an Operating Unit will be used to support the United States’ foreign assistance objectives and the goal of Transformational Diplomacy. For further information on OPs, see the <http://inside.usaid.gov/A/F/plan.html>. [Note: this document is only available on the intranet. Please contact [ads@usaid.gov](mailto:ads@usaid.gov) if you need a copy.]

OPs describe the tactics that an Operating Unit will employ to maximize the effectiveness of USG foreign assistance resources. In organizing information for the OPs, the Foreign Assistance Framework and its Standardized Program Structure is used. At the top of the hierarchy in this structure are Functional Objectives (the major goals of foreign assistance), which include Peace and Security, Governing Justly and Democratically, Investing in People, Economic Growth, and Humanitarian Assistance. Under each Functional Objective are Program Areas, which further define specific areas of programming. Program Elements describe the different components of a Program Area. Program Sub-Elements are the different components of a Program Element. Countries are also categorized into five groups depending on where they are on a development continuum: Rebuilding, Developing, Transforming, Sustaining, and

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<sup>1</sup> The seven Strategic Goals are: (1) achieving peace and security; (2) governing justly and democratically; (3) investing in people; (4) promoting economic growth and prosperity; (5) providing humanitarian assistance; (6) promoting international understanding; and (7) strengthening our consular and management capabilities.

Restricted. The intent is for countries to move up to the Sustaining Partner category and eventually graduate from the need for foreign assistance.

The Standardized Program Structure used in OPs is a descriptive budgeting taxonomy and not a Results Framework (See [ADS 201.3.8.3, Results Framework](#)). The Structure is a listing of program categories that provides common definitions for the use of foreign assistance funds. The definitions identify very specifically and directly *what* USAID is doing, but not *why* it is doing it. Additionally, there is no direct causal relationship between the different levels of the Standardized Program Structure.

### **200.3.2 Guiding Principles**

Effective Date: 09/01/2008

As a development agency with a diverse staff and customer base, USAID must consider the principles that determine how it performs its work around the world. The following guiding principles are best practices, learned over time, that have proved instrumental to achieving development results and that apply to all employees, whether U.S. Foreign Service or Civil Service, Foreign Service National or Third Country National, and direct hire or contractors. These principles are:

- Managing for Results
- Maintaining a Customer Focus
- Building Teamwork and Participation
- Encouraging Empowerment and Accountability
- Valuing Diversity

#### **200.3.2.1 Managing for Results**

Effective Date: 09/01/2008

USAID defines a result as a significant, intended, and measurable change in the condition of a customer or a change in the host country, institutions, or other entities that will affect the customer directly or indirectly. Results at the AO level are typically broader than USAID-funded outputs and may require support from other donors and partners. Managing for results means that USAID seeks to define and organize its work around the end result it seeks to accomplish. This requires making intended results explicit; ensuring agreement among partners, customers, and stakeholders that proposed results are worthwhile; and organizing daily work and interactions to achieve results effectively.

In the planning phase described in [ADS 201](#), the processes and procedures used to define and reach agreement on intended results are explained. The planning phase includes the customers whom USAID intends to affect and benefit.

\*An asterisk in this document indicates that the material is new or substantively revised.

In the achieving phase described in [ADS 202](#), USAID keeps its partners and itself focused on intended results. It seeks to optimize integration with other key Agency systems, especially budgeting, acquisition and assistance, and financial management, in order to minimize internal barriers to performance.

In the assessing and learning phase described in [ADS 203](#), USAID defines how it assess its progress on an ongoing basis, decides on modifying activities when needed, makes changes to results based on experiences or other factors, and learns from success or failure so as to improve its ability to succeed in future programs.

### **Accountability for Results**

In the development work that is the core of the Agency's programs, USAID rarely has total control over the results it seeks to accomplish at the Objective or Area level. Indeed, development results that would be within the Agency's control are not likely to represent sustainable development. USAID's goal is to select objectives that reach high and inspire others but that are also within its manageable interests. The concept of manageable interest recognizes that achievement of results requires joint action on the part of many other actors, such as host country governments, institutions, other donors, civil society, and the private sector. When an objective is within USAID's manageable interest, it means that it has reason to believe that:

- USAID's ability to influence, organize, and support others around commonly shared goals can lead to the achievement of desired results; and
- The probability of success is high enough to warrant expending program and staff resources.

In managing for results, USAID staff are expected to:

- Make intelligent, informed choices on what results to pursue;
- Manage proactively towards achieving those results; and
- Respond effectively to the inevitable changes in the development and policy environment that affect achievement of selected results by modifying tactics and strategies.

#### **200.3.2.2 Maintaining a Customer Focus**

Effective Date: 09/01/2008

USAID results-focused programming systems are intended to help ensure that the Agency's programs and priorities are as responsive as possible to customer needs. USAID seeks to identify who its customers are and to secure their participation in order to better target its project approaches and to focus its efforts and resources on the most productive tasks. Another aspect of customer focus involves managing potential conflict

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between customer groups who perceive themselves as gaining or losing as a result of a particular intervention.

Best practices in working with customers include:

- Exercising participatory planning techniques to obtain direct involvement of customers and to identify their aspirations and priorities;
- Consulting with organizations that represent the interests of customers;
- Monitoring customer participation and consistently seeking feedback through surveys, field visits, and open forums to determine if USAID's efforts are consistent with the aspirations or needs of its customers;
- Using customer information to frame program strategies and to design specific interventions; and
- Communicating with customers on how their recommendations have been incorporated into programs.

### **200.3.2.3 Building Teamwork and Participation**

Effective Date: 09/01/2008

USAID believes that teamwork and participation increase the effectiveness of its work by drawing in, on a collaborative basis, those who have expertise or interest in the outcome of its work, including members beyond USAID staff. Working more effectively is directly linked to managing for results orientation.

**a. Teamwork.** Teamwork brings together a group of people with diverse technical skills who are:

- Committed to achieving defined results;
- Vested with the authority to make decisions; and
- Willing to be held jointly accountable for achieving results.

These points help to distinguish teams from committees or working groups that include representatives from different units. In a traditional office-based structure, committees and groups are formed with the idea that each member represents and promotes the goals of his or her unit. There is no presumed commitment to accept responsibility to pursue a new goal or result that transcends the different units represented on the committee. If the members of a group agree to share responsibility for achieving common results and have the agreement and support of their home unit to take on this responsibility, then the group takes on the characteristic of a team.

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USAID uses teams for many different purposes. They may have specific, long-term or short-term tasks and have full-time or part-time members.

**b. Participation.** Participation is the active involvement of people in decisions that affect them. USAID seeks to involve customers, partners, and stakeholders. Partners are those individuals and organizations who work with the Agency (formally or informally) to achieve shared objectives. Stakeholders are individuals and organizations who have an interest in the outcome of USAID programs.

The objective of participation is to improve the quality of decisions by ensuring that these decisions have the support from others that will lead to success. At the same time, where feasible, USAID wishes to support and strengthen host country planning, decision-making, and implementation systems in both the public and private sectors, which can foster broad local ownership of development objectives and results, thereby making assistance more sustainable and effective. This may mean adapting assistance to already established priorities and plans of the host country.

The results of effective teamwork and active participation include:

- Better decisions;
- An increased sense of broad-based ownership for program results and an improved likelihood of sustainable program impact; and
- In the case of public-private alliances, leveraging resources more effectively to meet Agency development objectives.

Concerns over conflict of interest and USG decision-making need to be taken into account when involving others in AO teams. Related policies and best practices in [ADS 202](#) give USAID staff a variety of tools for promoting teamwork and participation while avoiding these difficulties.

#### **200.3.2.4 Encouraging Empowerment and Accountability**

Effective Date: 09/01/2008

The principle of empowerment and accountability reflects the belief that success requires that USAID allows those organizational units that are closest to the “front lines” to participate in decision-making and that it maintains an appropriate balance between authority and responsibility. Empowerment and accountability directly complement the guiding principles of teamwork and managing for results.

In practice, this means delegating authority to those who need it to help the Agency succeed in achieving important results. It also means that authority should be delegated consistent with the capacity to carry it out in a responsible and accountable manner. This principle recognizes that delegating responsibility alone, without the necessary concurrent authority, is a recipe for failure. It recognizes that to succeed, USAID should

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delegate authorities to the people closest to the action, who are in the best position to see and react to a changing environment and to the changing needs of ultimate customers, partners, and stakeholders. Empowerment accepts that teams may take considered risks and recommend adjusting their programs in light of new developments. Finally, it recognizes that managers who delegate and empower their staff have a responsibility to ensure that staff are adequately trained and supported so that they can meet the accountability requirements that correspond to the authority delegated. This includes providing timely information on changing internal and external policy mandates.

Accountability accompanies empowerment. When USAID staff are delegated authority to make decisions that impact the achievement of results, they must be prepared to be held accountable for those decisions. USAID staff are also accountable for ensuring that all relevant legal, ethical, and policy-related issues have been considered during a decision-making process. Accountability also means that teams and individual employees are expected to consistently demonstrate high ethical standards and personal integrity in all matters. Performance appraisals are a key instrument for promoting accountability. USAID managers should strive to reward both individual and team performance.

#### **200.3.2.5 Valuing Diversity**

Effective Date: 01/31/2003

Valuing diversity reflects a belief that there is more than one way to look at the world and that USAID's work will improve if it consciously seeks to consider and take into account the diversity of views, experience, skills, capabilities, and beliefs of those around it. This principle recognizes that USAID's success as an organization depends on having a multicultural workforce that works effectively with diverse customers, stakeholders, and partners all around the world. The Agency must ensure that the workplace environment promotes:

- Diversity, experience, and contributions of others;
- Mutual respect for all individuals;
- Opportunities for team members to contribute to the full extent of their ability in program planning, management, and other initiatives;
- Synergy and the benefits of bringing together people of different backgrounds and skills to accomplish the Agency mission; and
- Nondiscrimination based on race, color, religion, national origin, physical or mental disability, sex, age, or sexual orientation. (See [ADS 110](#), Equal Opportunity Employment)

Valuing diversity is demonstrated within USAID by the way teams are composed and, more importantly, by the way program decisions are made. For example, are

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discussions on vision and problem analysis conducted with a broad and diverse audience? Do team decisions respect all members' input, regardless of race, color, religion, national origin, physical or mental disability, sex/gender, age, sexual orientation, ethnicity, nationality (especially in the case of Foreign Service (FSN) and Third Country National (TCN) staff within USAID and host country partners), and organizational status (such as rank, grade, and position)?

### **200.3.3 Promoting Aid Effectiveness**

Effective Date: 09/01/2008

There is a growing concern in the development community that lasting change cannot take hold unless host countries are able to exercise effective leadership over their development policies and strategies and coordinate development actions; and that it is therefore incumbent on donor countries to assist in every way possible to increase host countries' capabilities to plan, finance, administer, and evaluate development programs. Mutual accountability of donors and recipients requires, among other things, that donors honor host countries' strategic priorities, attempt to simplify and harmonize their policies and performance assessment frameworks, coordinate their programs to avoid duplication of effort, and work through host country institutions. For their part, host countries need to strengthen their institutions through periodic diagnostic assessments and performance reviews that lead to improved transparency and accountability, improve efforts to mobilize domestic resources, and create an enabling environment for public and private investment. Both groups must work together to strengthen national procurement systems.

USAID, for its part, is committed to using host country systems and strengthening local capacity and institutions. To the extent possible, USAID assistance programs should significantly increase the use of local contracts and grants; fund host country experts, NGOs, and firms in providing technical assistance; and program funds through the host government, where appropriate policies and accountability exist. (See [ADS 305, Host Country Contracts](#) and the Mandatory Reference on [Program Assistance](#)) These local approaches are what will sustain development.

Assessments of the host country accountability environment are critical to selection of the most appropriate methods of financing and implementation. Accountability assessments should typically examine a proposed implementing entity's budget and accounting systems, procurement procedures, internal controls, cash management practices, traceability of disbursement transactions to supporting documentation, and ability to report accurately and timely on utilization of financial resources. See [ADS 624](#) regarding requirements for host country General Assessments and Financial Assessments. [Policy Determination 18](#) provides important information on programming host country-owned local currency and accountability guidelines.

Each USAID Mission/Office, therefore, is encouraged to review carefully the range of USAID programming modalities and implementation mechanisms available, on a country-by-country basis. In countries with more advanced capacity, greater use could be made of instruments and approaches that can be managed by existing institutions,

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incorporating capacity-strengthening elements if needed. At the planning level (ADS 201), before deciding on an implementing mechanism, best practices indicate that an assistance objective team should consult its Regional Legal Advisor, Acquisition and Assistance Officer(s), and Controller to review options and decide which one best promotes the goal of enhancing aid effectiveness through host country management and ownership. During the implementation phase (ADS 202), host country procedures could be used where possible. And at the level of Assessing and Learning (ADS 203), the host country should be fully involved in participating in program and project evaluations, deriving lessons learned, and identifying best practices for replication.

In March 2005, along with more than 100 developing and donor country ministers and heads of multilateral and bilateral organizations, USAID endorsed the [Paris Declaration on Aid Effectiveness](#), which embodies the principles above.

#### **200.4 MANDATORY REFERENCES**

Effective Date: 09/01/2008

**Resolving Conflicting Guidance.** References included in this chapter have been reviewed and updated as of July 2007. However, there may still be cases where mandatory requirements do not correspond to current approval or documentation steps. In cases where this is difficult to determine, contact your Regional Legal Advisor or AID/A/COO/PAC.

If you find that some mandatory policies are particularly problematic and should be considered for early revision or deletion, please contact AID/A/COO/PAC. USAID will use this information to determine priorities in revision efforts.

**Where to find guidance in other ADS chapters.** Each of the three functions summarized in this chapter (planning, achieving, and assessing and learning) has specific required procedures and processes that are outlined in [ADS 201](#), [202](#), and [203](#), respectively. Other chapters of the ADS provide more detail on specific elements of relevance to the USAID programming system. Sample areas are listed below.

<b>ADS Chapters</b>	<b>Series Topic</b>	<b>Available At</b>
<b>ADS Series 100</b>	<b>Agency Organization and Legal Affairs</b>	<a href="http://www.usaid.gov/policy/ads/100/">http://www.usaid.gov/policy/ads/100/</a>
Chapter 102	Agency Organization	<a href="http://www.usaid.gov/policy/ads/100/102.pdf">http://www.usaid.gov/policy/ads/100/102.pdf</a>
Chapter 103	Delegation of Authority	<a href="http://www.usaid.gov/policy/ads/100/103.pdf">http://www.usaid.gov/policy/ads/100/103.pdf</a>
<b>ADS Series 200</b>	<b>Programming Policy</b>	<a href="http://www.usaid.gov/policy/ads/200/">http://www.usaid.gov/policy/ads/200/</a>
Chapter 200 (this chapter)	Introduction to Managing for Results	<a href="http://www.usaid.gov/policy/ads/200/200.pdf">http://www.usaid.gov/policy/ads/200/200.pdf</a>
Chapter 201	Planning	<a href="http://www.usaid.gov/policy/ads/200/201.pdf">http://www.usaid.gov/policy/ads/200/201.pdf</a>
Chapter 202	Achieving	<a href="http://www.usaid.gov/policy/ads/200/202.pdf">http://www.usaid.gov/policy/ads/200/202.pdf</a>
Chapter 203	Assessing and Learning	<a href="http://www.usaid.gov/policy/ads/200/203.pdf">http://www.usaid.gov/policy/ads/200/203.pdf</a>
Chapters 204 – 253	Other programming policies on specific topics	<a href="http://www.usaid.gov/policy/ads/200/">http://www.usaid.gov/policy/ads/200/</a>
<b>ADS Series 300</b>	<b>Acquisition and Assistance</b>	<a href="http://www.usaid.gov/policy/ads/300/">http://www.usaid.gov/policy/ads/300/</a>
Chapter 350	Grants to Foreign Governments	<a href="http://www.usaid.gov/policy/ads/300/350.pdf">http://www.usaid.gov/policy/ads/300/350.pdf</a>
<b>ADS Series 400</b>	<b>Personnel</b>	<a href="http://www.usaid.gov/policy/ads/400/">http://www.usaid.gov/policy/ads/400/</a>
<b>ADS Series 500</b>	<b>Management Services</b>	<a href="http://www.usaid.gov/policy/ads/500/">http://www.usaid.gov/policy/ads/500/</a>
Chapter 501	The Automated Directives System	<a href="http://www.usaid.gov/policy/ads/500/501.pdf">http://www.usaid.gov/policy/ads/500/501.pdf</a>
<b>ADS Series 600</b>	<b>Budget and Finance</b>	<a href="http://www.usaid.gov/policy/ads/600/">http://www.usaid.gov/policy/ads/600/</a>
Chapter 624	Host Country-Owned Foreign Currency	<a href="http://www.usaid.gov/policy/ads/600/624.pdf">http://www.usaid.gov/policy/ads/600/624.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

**Additional policies and guidance.** The Joint State-USAID Strategic Plan [http://www.usaid.gov/policy/coordination/stratplan\\_fy07-12.html](http://www.usaid.gov/policy/coordination/stratplan_fy07-12.html) is the broadest statement of USAID programming policy. It is complemented by a considerable body of detailed programming policy, which is covered in the reference tables that follow. These tables contain the more commonly used references related to programming, divided into External Mandatory References, Internal Mandatory References, and Additional Help references. This section will be updated periodically as additional Mandatory References and legal provisions are developed.

USAID staff must ensure that all programs are consistent with applicable policy and conform to all mandatory guidance. Staff should identify relevant policy early in the planning process and factor it into planning and related decision-making processes from the outset.

#### **200.4.1 External Mandatory References**

Effective Date: 09/01/2008

The comprehensive list below contains External Mandatory Reference documents related to ADS Chapters 200 through 203. External Mandatory References are relevant Federal statutes, Executive Orders, and other external regulations (such as USAID-specific regulations, Uniform Foreign Affairs Regulations, and some U.S. Government-wide regulations). Some of the mandatory material consists of guidance that identifies specific approaches that are required in implementing particular types of development programs, as well as detailed guidance on application of certain restrictions, procedures, or accountability standards that affect programming of USAID resources. This list also includes broader statements of Agency guiding principles, views on best practices, and preferred approaches in addressing particular types of development challenges. These reference documents are available by hyperlink if you open this ADS chapter electronically.

\*An asterisk in this document indicates that the material is new or substantively revised.

External Mandatory Reference Title	Available At
22 Code of Federal Regulations (CFR) 62, Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act)	<a href="http://www.usaid.gov/policy/ads/cfrlist.html?22cfr62">http://www.usaid.gov/policy/ads/cfrlist.html?22cfr62</a>
22 CFR 203, Registration of Agencies for Voluntary Foreign Aid	<a href="http://www.usaid.gov/policy/ads/cfrlist.html?22cfr203">http://www.usaid.gov/policy/ads/cfrlist.html?22cfr203</a>
22 CFR 211, Transfer of Food Commodities for Food Use in Disaster Relief, Economic Development, and other Assistance	<a href="http://www.usaid.gov/policy/ads/cfrlist.html?22cfr211">http://www.usaid.gov/policy/ads/cfrlist.html?22cfr211</a>
22 CFR 216, Environmental Procedures	<a href="http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr216_03.html">http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr216_03.html</a>
22 CFR 225, Protection of Human Subjects	<a href="http://www.usaid.gov/policy/ads/cfrlist.html?22cfr225">http://www.usaid.gov/policy/ads/cfrlist.html?22cfr225</a>
22 CFR 226, Administration of Assistance Awards to U.S. Nongovernmental Organizations	<a href="http://www.usaid.gov/policy/ads/cfrlist.html?22cfr226">http://www.usaid.gov/policy/ads/cfrlist.html?22cfr226</a>
22 CFR 228, Rules on Source, Origin, and Nationality for Commodities and Services Financed by USAID	<a href="http://www.usaid.gov/policy/ads/cfrlist.html?22cfr228">http://www.usaid.gov/policy/ads/cfrlist.html?22cfr228</a>
Executive Order 13279, Equal Protection of the Laws for Faith-Based and Community Organizations	<a href="http://www.whitehouse.gov/news/releases/2002/12/20021212-6.html">http://www.whitehouse.gov/news/releases/2002/12/20021212-6.html</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

External Mandatory Reference Title	Available At
Executive Order 13280, Responsibilities of the Department of Agriculture and the Agency for International Development with Respect to Faith-Based and Community Initiatives	<a href="http://www.whitehouse.gov/news/releases/2002/12/20021212-5.html">http://www.whitehouse.gov/news/releases/2002/12/20021212-5.html</a>
Federal Acquisition Regulation (FAR), [48 CFR Chapter 1]	<a href="http://www.arnet.gov/far/">http://www.arnet.gov/far/</a>
Federal Financial Management Improvement Act of 1996, beyond original FMFIA [FFMIA], [P.L.104-208]	<a href="http://www.usaid.gov/policy/ads/200/fmfia98.pdf">http://www.usaid.gov/policy/ads/200/fmfia98.pdf</a>
Federal Financial Management Improvement Act of 1996, beyond original FMFIA [FFMIA], [P.L.104-208]	<a href="http://www.whitehouse.gov/omb/financial/ffs_ffmia.html">http://www.whitehouse.gov/omb/financial/ffs_ffmia.html</a>
Foreign Assistance Act of 1961, as amended (FAA)	<a href="http://www.foreignaffairs.house.gov/archives/109/24796.pdf">http://www.foreignaffairs.house.gov/archives/109/24796.pdf</a>
Government Performance and Results Act	<a href="http://www.whitehouse.gov/omb/mgmt-gpra/gplaw2m.html">http://www.whitehouse.gov/omb/mgmt-gpra/gplaw2m.html</a>
National Security Strategy of the United States	<a href="http://www.whitehouse.gov/nsc/nss.html">http://www.whitehouse.gov/nsc/nss.html</a>
OFPP Policy Letter 97-1, Procurement System Education, Training, and Experience Requirements for Acquisitions Personnel	<a href="http://www.whitehouse.gov/omb/procurement/index_policy.html">http://www.whitehouse.gov/omb/procurement/index_policy.html</a>
Office of Management and Budget (OMB) Bulletin 06-03, Audit Requirements for Federal Financial Statements (August 23, 2006)	<a href="http://www.whitehouse.gov/omb/bulletins/fy2006/b06-03.pdf">http://www.whitehouse.gov/omb/bulletins/fy2006/b06-03.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

External Mandatory Reference Title	Available At
OMB Circular A-11, Preparation, Submission, and Execution of the Budget	<a href="http://www.whitehouse.gov/omb/circulars/a11/03toc.html">http://www.whitehouse.gov/omb/circulars/a11/03toc.html</a>
OMB Circular A-76, Performance of Commercial Activities	<a href="http://www.whitehouse.gov/omb/circulars/a076/a076spre.html">http://www.whitehouse.gov/omb/circulars/a076/a076spre.html</a>
OMB Circular A-123, Management Accountability and Control	<a href="http://www.whitehouse.gov/omb/circulars/a123/a123_rev.html">http://www.whitehouse.gov/omb/circulars/a123/a123_rev.html</a>
Public Law 101-576, Chief Financial Officers Act of 1990	<a href="http://www.whitehouse.gov/omb/financial/fin_report.html">http://www.whitehouse.gov/omb/financial/fin_report.html</a>
Public Law 102-511, Freedom Support Act of 1992, Freedom for Russia and Emerging Eurasian Democracies and Open Markets Support Act	<a href="http://www.law.cornell.edu/uscode/22/usc_sup_01_22_10_67.htm">http://www.law.cornell.edu/uscode/22/usc_sup_01_22_10_67.htm</a> !
Public Law 103-62, Government Performance and Results Act [GPRA] of 1993	<a href="http://www.whitehouse.gov/omb/mgmt-gpra/index.html">http://www.whitehouse.gov/omb/mgmt-gpra/index.html</a>
Public Law 103-356, Government Management Reform Act [GMRA] of 1994	<a href="http://thomas.loc.gov/cgi-bin/query/z?c103:S.2170.ENR:">http://thomas.loc.gov/cgi-bin/query/z?c103:S.2170.ENR:</a>
USAID Acquisition Regulations (AIDAR)	<a href="http://www.usaid.gov/policy/ads/300/aidar.pdf">http://www.usaid.gov/policy/ads/300/aidar.pdf</a>
31 U.S.C. Chapter 39, Prompt Pay (Federal Prompt Payment Act)	<a href="http://www.whitehouse.gov/omb/fedreg/ppa1010revfinal4.html">http://www.whitehouse.gov/omb/fedreg/ppa1010revfinal4.html</a>
22 U.S.C. Chapter 63, Support for Eastern European Democracy (SEED) Act of 1989	<a href="http://www.law.cornell.edu/uscode/22/usc_sup_01_22_10_63.htm">http://www.law.cornell.edu/uscode/22/usc_sup_01_22_10_63.htm</a> !

\*An asterisk in this document indicates that the material is new or substantively revised.

External Mandatory Reference Title	Available At
41 U.S.C. 253, Competition in Contracting Act	<a href="http://www.law.cornell.edu/uscode/41/uscode/41_0000253-000-.html">http://www.law.cornell.edu/uscode/41/uscode/41_0000253-000-.html</a>
31 U.S.C. 1341, Limitations on expending and obligating amounts (includes the Federal Anti-Deficiency Act)	<a href="http://www4.law.cornell.edu/uscode/html/uscode31/uscode31_00001341-000-.html">http://www4.law.cornell.edu/uscode/html/uscode31/uscode31_00001341-000-.html</a>
31 U.S.C. 6301-6308, Federal Grants and Cooperative Agreements Act	<a href="http://www4.law.cornell.edu/uscode/html/uscode31/uscode31_01_31_08_V_10_63.html">http://www4.law.cornell.edu/uscode/html/uscode31/uscode31_01_31_08_V_10_63.html</a>

#### 200.4.2 Internal Mandatory References

Effective Date: 09/01/2008

The comprehensive list below contains Internal Mandatory Reference documents related to ADS Chapters 200-203. USAID creates Internal Mandatory References, which contain policy directives and required procedures that supplement ADS chapters. These reference documents are available by hyperlink if you open this ADS chapter electronically.

Category	Internal Mandatory Reference Title	Available At
Democracy & Governance	Policy Determination (PD) #12 – Human Rights	<a href="http://www.usaid.gov/policy/ads/200/pd12.pdf">http://www.usaid.gov/policy/ads/200/pd12.pdf</a>
	USAID Political Party Assistance Policy	<a href="http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/pdaby359.pdf">http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/pdaby359.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
<b>Economic Growth &amp; Agricultural Development</b>	ADS 225, Program Principles for Trade and Investment Activities and the “Impact on U.S. Jobs” and “Workers’ Rights” [also listed under Other Issues]	<a href="http://www.usaid.gov/policy/ads/200/225.pdf">http://www.usaid.gov/policy/ads/200/225.pdf</a>
	Microenterprise Development	<a href="http://www.usaid.gov/policy/ads/200/219.pdf">http://www.usaid.gov/policy/ads/200/219.pdf</a>
	Policy Determination (PD) #15 – Assistance to Support Agricultural Export Development	<a href="http://www.usaid.gov/policy/ads/200/pd15.pdf">http://www.usaid.gov/policy/ads/200/pd15.pdf</a>
	PD #71 – USAID Financing of Palm Oil, Citrus, and Sugar Projects and Related Products	<a href="http://www.usaid.gov/policy/ads/200/pd71.pdf">http://www.usaid.gov/policy/ads/200/pd71.pdf</a>
<b>Education &amp; Training</b>	ADS 216, USAID-Higher Education Community Partnership	<a href="http://www.usaid.gov/policy/ads/200/216.pdf">http://www.usaid.gov/policy/ads/200/216.pdf</a>
	ADS 253, Training for Development	<a href="http://www.usaid.gov/policy/ads/200/253.pdf">http://www.usaid.gov/policy/ads/200/253.pdf</a>
	Detailed Guide for Training Results	<a href="http://www.usaid.gov/policy/ads/200/253maa.pdf">http://www.usaid.gov/policy/ads/200/253maa.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
	Policy Paper: Program Focus Within Basic Education	<a href="http://www.usaid.gov/policy/ads/200/200mad.pdf">http://www.usaid.gov/policy/ads/200/200mad.pdf</a>
Environment & Energy	Energy	<a href="http://www.usaid.gov/policy/ads/200/energy/energy.pdf">http://www.usaid.gov/policy/ads/200/energy/energy.pdf</a>
	ADS 204, Environmental Procedures	<a href="http://www.usaid.gov/policy/ads/200/204.pdf">http://www.usaid.gov/policy/ads/200/204.pdf</a>
Health & Population	Guidance documents from the Office of the U.S. Global AIDS Coordinator (OGAC)	<a href="http://www.pepfar.gov/guidance/">http://www.pepfar.gov/guidance/</a>
	Guidance on the Definition and Use of the Child Survival and Health Programs Fund and the Global HIV/AIDS Initiative Account FY 2004 Update [Guidance paper and Appendices]	<a href="http://www.usaid.gov/policy/ads/200/200mab.pdf">http://www.usaid.gov/policy/ads/200/200mab.pdf</a> <a href="http://www.usaid.gov/policy/ads/200/200mab1.pdf">http://www.usaid.gov/policy/ads/200/200mab1.pdf</a> (Appendices)
	President's Malaria Initiative	<a href="http://www.pmi.gov">http://www.pmi.gov</a>
	U.S. Five Year Global HIV/AIDS Strategy	<a href="http://www.state.gov/s/gac/plan/c11652.htm">http://www.state.gov/s/gac/plan/c11652.htm</a>
	Policy Paper, Population Assistance	<a href="http://www.usaid.gov/policy/ads/200/population/populat.pdf">http://www.usaid.gov/policy/ads/200/population/populat.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
	TAACS (Using Technical Advisors in AIDS & Child Survival Programs)	<a href="http://www.usaid.gov/policy/ads/200/200mat.pdf">http://www.usaid.gov/policy/ads/200/200mat.pdf</a>
	USAID Policy on Female Genital Cutting	<a href="http://www.usaid.gov/policy/ads/200/200mac.pdf">http://www.usaid.gov/policy/ads/200/200mac.pdf</a>
<b>Humanitarian Assistance and Food Aid</b>	Post-Crisis Planning and Implementation— USAID Policies and Regulations	<a href="http://www.usaid.gov/policy/ads/200/200may.pdf">http://www.usaid.gov/policy/ads/200/200may.pdf</a>
<b>Other Issues</b>	ADS 225, Program Principles for Trade and Investment Activities and the “Impact on U.S. Jobs” and “Workers’ Rights” [also listed under Economic Growth and Agricultural Development]	<a href="http://www.usaid.gov/policy/ads/200/225.pdf">http://www.usaid.gov/policy/ads/200/225.pdf</a>
	ADS 501 Additional Help, The ADS User’s Guide	<a href="http://www.usaid.gov/policy/ads/500/501sae.pdf">http://www.usaid.gov/policy/ads/500/501sae.pdf</a>
	ADS 502, Records Management	<a href="http://www.usaid.gov/policy/ads/500/502.pdf">http://www.usaid.gov/policy/ads/500/502.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
	Appropriate Use and Funding of USAID's Non-Direct Hire Workforce, Series 400, Interim Update #2	<a href="http://www.usaid.gov/policy/ads/400/updates/iu4-02.pdf">http://www.usaid.gov/policy/ads/400/updates/iu4-02.pdf</a>
	Implementation of Policy Guidance Concerning Fellows, Series 400, Interim Update #3	<a href="http://www.usaid.gov/policy/ads/400/updates/iu4-03.pdf">http://www.usaid.gov/policy/ads/400/updates/iu4-03.pdf</a>
	Non-presence Programming Procedures	<a href="http://www.usaid.gov/policy/ads/200/200mag.pdf">http://www.usaid.gov/policy/ads/200/200mag.pdf</a>
	Strategic Objective Document Disposition Schedule	<a href="http://www.usaid.gov/policy/ads/500/502mab.pdf">http://www.usaid.gov/policy/ads/500/502mab.pdf</a>
	USAID Disability Policy Paper	<a href="http://pdf.dec.org/pdf_docs/PDABQ631.pdf">http://pdf.dec.org/pdf_docs/PDABQ631.pdf</a>
<b>Operational Policy: Planning</b>	ADS 302, USAID Direct Contracting	<a href="http://www.usaid.gov/policy/ads/300/302.pdf">http://www.usaid.gov/policy/ads/300/302.pdf</a>
	ADS 303, Grants and Cooperative Agreements to Non-Government Organizations	<a href="http://www.usaid.gov/policy/ads/300/303.pdf">http://www.usaid.gov/policy/ads/300/303.pdf</a>

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Category	Internal Mandatory Reference Title	Available At
	ADS 304, Selecting the Appropriate Acquisition and Assistance (A&A) Implementation Instrument	<a href="http://www.usaid.gov/policy/ads/300/304.pdf">http://www.usaid.gov/policy/ads/300/304.pdf</a>
	ADS 305, Host Country Contracts	<a href="http://www.usaid.gov/policy/ads/300/305.pdf">http://www.usaid.gov/policy/ads/300/305.pdf</a>
	ADS 306, Interagency Agreements	<a href="http://www.usaid.gov/policy/ads/300/306.pdf">http://www.usaid.gov/policy/ads/300/306.pdf</a>
	ADS 308, Grants and Cooperative Agreements with Public International Organizations	<a href="http://www.usaid.gov/policy/ads/300/308.pdf">http://www.usaid.gov/policy/ads/300/308.pdf</a>
	Acquisition and Assistance Policy Directive 04-16, Public-Private Alliance Guidelines & Collaboration Agreement	<a href="http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_16.pdf">http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_16.pdf</a>
	PD #21 – Guidelines: Endowments Financed with Appropriated Funds	<a href="http://www.usaid.gov/policy/ads/200/pd21.pdf">http://www.usaid.gov/policy/ads/200/pd21.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
	Procedures for the Protection of Human Subjects in Research Supported by USAID	<a href="http://www.usaid.gov/policy/ads/200/humansub.pdf">http://www.usaid.gov/policy/ads/200/humansub.pdf</a>
	Program Assistance (includes information on non-project assistance, sector program assistance, cash transfers, balance of payments support, and budget support)	<a href="http://www.usaid.gov/policy/ads/200/prog_asst/proasst.pdf">http://www.usaid.gov/policy/ads/200/prog_asst/proasst.pdf</a>
	Regulations Implementing Section 487 of Foreign Assistance Act (FAA)	<a href="http://www.usaid.gov/policy/ads/200/135276.pdf">http://www.usaid.gov/policy/ads/200/135276.pdf</a>
	State-USAID Strategic Plan, FY 2007-2012	<a href="http://www.usaid.gov/policy/coordination/stratplan_fy07-12.html">http://www.usaid.gov/policy/coordination/stratplan_fy07-12.html</a>
	USAID – U.S. PVO Partnership Policy Guidance	<a href="http://www.usaid.gov/policy/ads/200/200mau.pdf">http://www.usaid.gov/policy/ads/200/200mau.pdf</a>
	ADS 260, Geographic Codes	<a href="http://www.usaid.gov/policy/ads/200/260.pdf">http://www.usaid.gov/policy/ads/200/260.pdf</a>
	Cash Transfer and Interest Earnings [94 State 205189]	<a href="http://www.usaid.gov/policy/ads/200/205189.pdf">http://www.usaid.gov/policy/ads/200/205189.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
<b>Cash Transfer Guidance</b>	ESF Cash Transfer Assistance – Amplified Policy Guidance [87 State 325792]	<a href="http://www.usaid.gov/policy/ads/200/325792.pdf">http://www.usaid.gov/policy/ads/200/325792.pdf</a>
	Financial Management Guidance on Dollar Separate Accounts for ESF Cash Transfers and ESF-, DA- and DFA-Funded Non-project Sector Assistance Cash Disbursements [90 State 194322]	<a href="http://www.usaid.gov/policy/ads/200/194322.pdf">http://www.usaid.gov/policy/ads/200/194322.pdf</a>
	PD #18 – Local Currency	<a href="http://www.usaid.gov/policy/ads/200/pd18.pdf">http://www.usaid.gov/policy/ads/200/pd18.pdf</a>
	Supplemental Guidance on Programming and Managing Host Country-Owned Local Currency [91 State 204855]	<a href="http://www.usaid.gov/policy/ads/200/204855.pdf">http://www.usaid.gov/policy/ads/200/204855.pdf</a>
	Procedure for Implementation of Cash Transfer Grant Agreements [03 State 020049]	<a href="http://www.usaid.gov/policy/ads/200/200mbi.pdf">http://www.usaid.gov/policy/ads/200/200mbi.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
	USAID Exchange Rate Policy Guidance	<a href="http://www.usaid.gov/policy/ads/200/exchrates.pdf">http://www.usaid.gov/policy/ads/200/exchrates.pdf</a>
<b>Operational Policy: Achieving</b>	ADS 304, Selecting the Appropriate Acquisition and Assistance (A&A) Implementation Instrument	<a href="http://www.usaid.gov/policy/ads/300/304.pdf">http://www.usaid.gov/policy/ads/300/304.pdf</a>
	Contract Information Bulletin (CIB) 99-17, Organizational Conflict of Interest	<a href="http://www.usaid.gov/procurement_bus_opp/procurement/cib/pdf/cib9917.pdf">http://www.usaid.gov/procurement_bus_opp/procurement/cib/pdf/cib9917.pdf</a>
	Office of Federal Procurement Policy Letter 92-1, Inherently Governmental Functions, Dated September 23, 1992	<a href="http://www.usaid.gov/policy/ads/600/60157m1.pdf">http://www.usaid.gov/policy/ads/600/60157m1.pdf</a>
	Office of Federal Procurement Policy Letter 05-01, Developing and Managing the Acquisition Workforce	<a href="http://www.whitehouse.gov/omb/procurement/policy_letters/05-01_041505.html">http://www.whitehouse.gov/omb/procurement/policy_letters/05-01_041505.html</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Internal Mandatory Reference Title	Available At
	Policy Guidance on Criteria for Payment of Salary Supplements for Host Government Employees [88 State 119780]	<a href="http://www.usaid.gov/policy/ads/200/119780.pdf">http://www.usaid.gov/policy/ads/200/119780.pdf</a>
	Past Performance Handbook, Contractor Performance Report Card	<a href="http://www.usaid.gov/policy/ads/300/30259m1.pdf">http://www.usaid.gov/policy/ads/300/30259m1.pdf</a>

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**\*200.5 ADDITIONAL HELP**  
Effective Date: 11/05/2009

The list below contains Additional Help documents related to ADS Chapters 200-203. Additional help references provide detailed information about Agency policy, guidance, and procedures. Use of these Additional Help documents is encouraged, but not required. These documents do not specify required actions or other requirements. These reference documents are available by hyperlink if you open this ADS chapter electronically.

Category	Additional Help Title	Available At
Democracy & Governance	Alternative Dispute Resolution Practitioners Guide	<a href="http://www.usaid.gov/policy/ads/200/200sbe.pdf">http://www.usaid.gov/policy/ads/200/200sbe.pdf</a>
	Civil-Military Relations: USAID's Role	<a href="http://www.usaid.gov/policy/ads/200/200sbf.pdf">http://www.usaid.gov/policy/ads/200/200sbf.pdf</a>
	Conducting a DG Assessment: A Framework for Strategy Development	<a href="http://www.usaid.gov/policy/ads/200/pnagc505.pdf">http://www.usaid.gov/policy/ads/200/pnagc505.pdf</a>
	Decentralization and Democratic Local Governance Programming Handbook	<a href="http://www.usaid.gov/policy/ads/200/200saz.pdf">http://www.usaid.gov/policy/ads/200/200saz.pdf</a>
	Democracy and Governance	<a href="http://www.usaid.gov/policy/ads/200/demgov/demogov.pdf">http://www.usaid.gov/policy/ads/200/demgov/demogov.pdf</a>
	Democracy and Governance: A Conceptual Framework	<a href="http://www.usaid.gov/policy/ads/200/cframe.pdf">http://www.usaid.gov/policy/ads/200/cframe.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Additional Help Title	Available At
	Handbook of Democracy & Governance Program Indicators	<a href="http://www.usaid.gov/policy/ads/200/indhndbk.pdf">http://www.usaid.gov/policy/ads/200/indhndbk.pdf</a>
	Handbook on Fighting Corruption	<a href="http://www.usaid.gov/policy/ads/200/crpthdbk.pdf">http://www.usaid.gov/policy/ads/200/crpthdbk.pdf</a>
	Managing Assistance in Support of Political & Electoral Processes	<a href="http://www.usaid.gov/policy/ads/200/200sba.pdf">http://www.usaid.gov/policy/ads/200/200sba.pdf</a>
	Role of the Media in Democracy: A Strategic Approach	<a href="http://www.usaid.gov/policy/ads/200/200sbc.pdf">http://www.usaid.gov/policy/ads/200/200sbc.pdf</a>
	USAID Handbook on Legislative Strengthening	<a href="http://www.usaid.gov/policy/ads/200/200sbb.pdf">http://www.usaid.gov/policy/ads/200/200sbb.pdf</a>
	USAID Political Party Development Assistance	<a href="http://www.usaid.gov/policy/ads/200/200sbd.pdf">http://www.usaid.gov/policy/ads/200/200sbd.pdf</a>
<b>Economic Growth &amp; Agricultural Development</b>	Agricultural Sector Assessments	<a href="http://www.usaid.gov/policy/ads/200/200san.pdf">http://www.usaid.gov/policy/ads/200/200san.pdf</a>
	AID Food and Agriculture Strategy	<a href="http://www.usaid.gov/policy/ads/200/200saa.pdf">http://www.usaid.gov/policy/ads/200/200saa.pdf</a>
	Cooperative Development	<a href="http://www.usaid.gov/policy/ads/200/coopdev/coopdev.pdf">http://www.usaid.gov/policy/ads/200/coopdev/coopdev.pdf</a>
	Design of Urban and Environmental Credit (UEC) Program	<a href="http://www.usaid.gov/policy/ads/200/2506s1.pdf">http://www.usaid.gov/policy/ads/200/2506s1.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Additional Help Title	Available At
	Economic Analysis of Assistance Activities	<a href="http://www.usaid.gov/policy/ads/200/2026s6.pdf">http://www.usaid.gov/policy/ads/200/2026s6.pdf</a>
	Financial Markets Development	<a href="http://www.usaid.gov/policy/ads/200/finmkts/finmkts.pdf">http://www.usaid.gov/policy/ads/200/finmkts/finmkts.pdf</a>
	Food and Agricultural Development	<a href="http://www.usaid.gov/policy/ads/200/foodagri/foodagri.pdf">http://www.usaid.gov/policy/ads/200/foodagri/foodagri.pdf</a>
	Introduction to Food Security Analysis	<a href="http://www.usaid.gov/policy/ads/200/200sab.pdf">http://www.usaid.gov/policy/ads/200/200sab.pdf</a>
	Loan Refinancing	<a href="http://www.usaid.gov/policy/ads/200/25054s1.pdf">http://www.usaid.gov/policy/ads/200/25054s1.pdf</a>
	PD #13 – Land Tenure	<a href="http://www.usaid.gov/policy/ads/200/pd13.pdf">http://www.usaid.gov/policy/ads/200/pd13.pdf</a>
	PD #14 – Implementing USAID Privatization Objectives	<a href="http://www.usaid.gov/policy/ads/200/pd14.pdf">http://www.usaid.gov/policy/ads/200/pd14.pdf</a>
	PD #22 – Telecommunication, Information, and the Global Information Infrastructure	<a href="http://www.usaid.gov/policy/ads/200/pd22.pdf">http://www.usaid.gov/policy/ads/200/pd22.pdf</a>
	PD #52 – Policy Determination on Labor Manpower	<a href="http://www.usaid.gov/policy/ads/200/pd52.pdf">http://www.usaid.gov/policy/ads/200/pd52.pdf</a>
	Pricing, Subsidies, and Related Policies in Food and Agriculture	<a href="http://www.usaid.gov/policy/ads/200/pricing/pricing.pdf">http://www.usaid.gov/policy/ads/200/pricing/pricing.pdf</a>
	Role of Resource Transfers in U.S. Economic Assistance	<a href="http://www.usaid.gov/policy/ads/200/restrans.pdf">http://www.usaid.gov/policy/ads/200/restrans.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Additional Help Title	Available At
	Trade Development	<a href="http://www.usaid.gov/policy/ads/200/200say.pdf">http://www.usaid.gov/policy/ads/200/200say.pdf</a>
<b>Education &amp; Training</b>	Basic Education and Technical Training	<a href="http://www.usaid.gov/policy/ads/200/basiced/basic_ed.pdf">http://www.usaid.gov/policy/ads/200/basiced/basic_ed.pdf</a>
	Education Sector Assessment [Vol. 5, Strategy Development and Project Design]	<a href="http://www.usaid.gov/policy/ads/200/200sac.pdf">http://www.usaid.gov/policy/ads/200/200sac.pdf</a>
<b>Environment &amp; Energy</b>	Domestic Water and Sanitation	<a href="http://www.usaid.gov/policy/ads/200/water/index.html">http://www.usaid.gov/policy/ads/200/water/index.html</a>
	Environment and Natural Resources	<a href="http://www.usaid.gov/policy/ads/200/envirnat/envirnat.pdf">http://www.usaid.gov/policy/ads/200/envirnat/envirnat.pdf</a>
	Guidance for Preparation of Background Assessments on Biological Diversity and Tropical Forests for Use in CDSS or Other Country Plans	<a href="http://www.usaid.gov/policy/ads/200/200sbh.pdf">http://www.usaid.gov/policy/ads/200/200sbh.pdf</a>
	Initial Environmental Examination	<a href="http://www.usaid.gov/policy/ads/200/25052s1.pdf">http://www.usaid.gov/policy/ads/200/25052s1.pdf</a>
	Making Cities Work: USAID's Urban Strategy	<a href="http://www.makingcitieswork.org/">http://www.makingcitieswork.org/</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Additional Help Title	Available At
	PD #6 – Environmental and Natural Resource Aspects of Development Assistance	<a href="http://www.usaid.gov/policy/ads/200/pd6.pdf">http://www.usaid.gov/policy/ads/200/pd6.pdf</a>
	PD #7 – Forestry Policy and Programs	<a href="http://www.usaid.gov/policy/ads/200/pd07.pdf">http://www.usaid.gov/policy/ads/200/pd07.pdf</a>
	Shelter	<a href="http://www.usaid.gov/policy/ads/200/shelter/shelter.pdf">http://www.usaid.gov/policy/ads/200/shelter/shelter.pdf</a>
	Summary Description of FAA sections 118(e) and 119(d) Requirements for Preparing Strategic Plans	<a href="http://www.usaid.gov/policy/ads/200/200saj.pdf">http://www.usaid.gov/policy/ads/200/200saj.pdf</a>
	Urban Development Policy	<a href="http://www.usaid.gov/policy/ads/200/urban_dev/urbandev.pdf">http://www.usaid.gov/policy/ads/200/urban_dev/urbandev.pdf</a>
<b>Health &amp; Population</b>	Health Assistance	<a href="http://www.usaid.gov/policy/ads/200/health/health.pdf">http://www.usaid.gov/policy/ads/200/health/health.pdf</a>
	President's Malaria Initiative General Guidance	<a href="http://www.fightingmalaria.gov/resources/malaria_techguidance.pdf">http://www.fightingmalaria.gov/resources/malaria_techguidance.pdf</a>
	UNAIDS National AIDS Programmes: A Guide to Monitoring and Evaluation	<a href="#">[Note: Please see the website listed here for information on the UNAIDS National AIDS Programmes (http://www.unaids.org)]</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Additional Help Title	Available At
	UNAIDS/UNGASS: Monitoring the Declaration of Commitment on HIV/AIDS	<a href="#">[Note: Please see the website listed here for information on UNAIDS/UNGASS (http://www.unaids.org)]</a>
	U.S. Five Year Global HIV/AIDS Strategy	<a href="http://www.state.gov/s/gac/plan/c11652.htm">http://www.state.gov/s/gac/plan/c11652.htm</a>
<b>Humanitarian Assistance &amp; Food Aid</b>	FAS Online Food Aid Programs Summary & web entry (Pub. L. 480)	<a href="#">[Note: Please see the website listed here for information on the FAS Online Food Aid Programs (http://www.fas.usda.gov/food-aid.html)]</a>
	FAS Online – Food Aid, Section 416(b)	<a href="#">[Note: Please see the website listed here for information about FAS Online (http://www.fas.usda.gov/food-aid.html)]</a>
	Field Operations Guide for Disaster Assessment & Response	<a href="http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog">http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog</a>
	Food Aid and Food Security Policy Paper	<a href="http://www.usaid.gov/policy/ads/200/foodsec/foodsec.pdf">http://www.usaid.gov/policy/ads/200/foodsec/foodsec.pdf</a>
	Food for Peace (Pub. L. 480, Titles II & III), Formerly HB 9	<a href="http://www.usaid.gov/policy/ads/200/ffp/ffp.pdf">http://www.usaid.gov/policy/ads/200/ffp/ffp.pdf</a> (Contact <a href="#">DCHA/FFP</a> for additional assistance)
	OFDA Guidelines for Grant Proposal and Reporting	<a href="http://www.usaid.gov/policy/ads/200/pvoguide.pdf">http://www.usaid.gov/policy/ads/200/pvoguide.pdf</a>
	OFDA Guidelines for Unsolicited Proposals and Reporting	<a href="http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants">http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Additional Help Title	Available At
	PD #19 – Definition of Food Security	<a href="http://www.usaid.gov/policy/ads/200/pd19.pdf">http://www.usaid.gov/policy/ads/200/pd19.pdf</a>
	USAID Assistance to Internally Displaced Persons Policy	<a href="http://www.usaid.gov/policy/ads/200/200mbc.pdf">http://www.usaid.gov/policy/ads/200/200mbc.pdf</a>
	USAID Assistance to Internally Displaced Persons Policy – Implementation Guidelines	<a href="http://www.usaid.gov/policy/ads/200/200mbd.pdf">http://www.usaid.gov/policy/ads/200/200mbd.pdf</a>
<b>Cross-Cutting Issues</b>	Conflict Prevention Guidance for Strategic Planning	<a href="http://www.usaid.gov/policy/ads/200/200sav.pdf">http://www.usaid.gov/policy/ads/200/200sav.pdf</a>
	Donor Coordination Strategies	<a href="http://www.usaid.gov/policy/ads/200/200sad.pdf">http://www.usaid.gov/policy/ads/200/200sad.pdf</a>
	Gender Plan of Action	<a href="http://www.usaid.gov/policy/ads/200/gplana96.pdf">http://www.usaid.gov/policy/ads/200/gplana96.pdf</a>
	*Guide To Gender Integration and Analysis	<a href="http://www.usaid.gov/policy/ads/200/201sab.pdf">http://www.usaid.gov/policy/ads/200/201sab.pdf</a>
	Institutional Development	<a href="http://www.usaid.gov/policy/ads/200/instdev/instdev.pdf">http://www.usaid.gov/policy/ads/200/instdev/instdev.pdf</a>
	PD #73 – Policy on USAID-U.S. Cooperative Organization Relationships	<a href="http://www.usaid.gov/policy/ads/200/pd73.pdf">http://www.usaid.gov/policy/ads/200/pd73.pdf</a>

\*An asterisk in this document indicates that the material is new or substantively revised.

Category	Additional Help Title	Available At
	USAID Research: Policy Framework, Principles and Operational Guidance	<a href="http://www.usaid.gov/policy/ads/200/polframe.pdf">http://www.usaid.gov/policy/ads/200/polframe.pdf</a>
	USAID's Strategy for Sustainable Development: An Overview	<a href="http://www.usaid.gov/policy/ads/200/200sai.pdf">http://www.usaid.gov/policy/ads/200/200sai.pdf</a>
	Women in Development Policy Paper	<a href="http://www.usaid.gov/policy/ads/200/women/womendev.pdf">http://www.usaid.gov/policy/ads/200/women/womendev.pdf</a>
<b>Operational Policy: Planning</b>	FYxxxx USAID Statutory Checklists (Template for Country Checklist and Activity Checklist)	<a href="http://inside.usaid.gov/A/GC/guidance.html">http://inside.usaid.gov/A/GC/guidance.html</a> [Note: this document is only available on the intranet. Please contact <a href="mailto:ads@usaid.gov">ads@usaid.gov</a> if you need a copy.]
	GC's Description of Inherently Governmental Functions re: teams (not a legal determination)	<a href="http://www.usaid.gov/policy/ads/200/200sam.pdf">http://www.usaid.gov/policy/ads/200/200sam.pdf</a>
	Guaranty Authorization	<a href="http://www.usaid.gov/policy/ads/200/25034s1.pdf">http://www.usaid.gov/policy/ads/200/25034s1.pdf</a>
	Guidelines for Strategic Plans	<a href="http://www.usaid.gov/policy/ads/200/statplan.pdf">http://www.usaid.gov/policy/ads/200/statplan.pdf</a>

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Category	Additional Help Title	Available At
	How to Choose between 632(a) and 632(b) – Memoranda of Understanding and Inter-Agency Agreements	<a href="http://www.usaid.gov/policy/ads/200/200sat.pdf">http://www.usaid.gov/policy/ads/200/200sat.pdf</a>
	Millennium Challenge Corporation	<a href="http://www.mcc.gov/">http://www.mcc.gov/</a>
	Model Checklist for Pre-Obligation Requirements	<a href="http://www.usaid.gov/policy/ads/200/200sar.pdf">http://www.usaid.gov/policy/ads/200/200sar.pdf</a>
	National Security Decision Directive Number 298 – National Operations Security Program	<a href="http://www.usaid.gov/policy/ads/200/nsdd298.pdf">http://www.usaid.gov/policy/ads/200/nsdd298.pdf</a>
	Official Files (for Strategic Objectives)	<a href="http://www.usaid.gov/policy/ads/200/200sae.pdf">http://www.usaid.gov/policy/ads/200/200sae.pdf</a>
	Performance Management Toolkit	<a href="http://www.usaid.gov/policy/ads/200/200sbn.pdf">http://www.usaid.gov/policy/ads/200/200sbn.pdf</a>
	PD #4 – Title XII	<a href="http://www.usaid.gov/policy/ads/200/pd04.pdf">http://www.usaid.gov/policy/ads/200/pd04.pdf</a>
	Results-Oriented Assistance: A USAID Sourcebook	<a href="http://www.usaid.gov/pubs/sourcebook/usgov/">http://www.usaid.gov/pubs/sourcebook/usgov/</a>
	Social Soundness Analysis	<a href="http://www.usaid.gov/policy/ads/200/2026s7.pdf">http://www.usaid.gov/policy/ads/200/2026s7.pdf</a>
	Strategic Plan Checklist	<a href="http://www.usaid.gov/policy/ads/200/200sbi.pdf">http://www.usaid.gov/policy/ads/200/200sbi.pdf</a>

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Category	Additional Help Title	Available At
	UEC Loan Documentation	<a href="http://www.usaid.gov/policy/ads/200/25031s1.pdf">http://www.usaid.gov/policy/ads/200/25031s1.pdf</a>
	USAID and Other Websites Providing Helpful References and Other Information	<a href="http://www.usaid.gov/policy/ads/200/200sah.pdf">http://www.usaid.gov/policy/ads/200/200sah.pdf</a>
	632a Draft Memorandum of Understanding	<a href="http://www.usaid.gov/policy/ads/200/200sat.pdf">http://www.usaid.gov/policy/ads/200/200sat.pdf</a>
<b>Operational Policy: Achieving</b>	Detailed Guide for Training Results	<a href="http://www.usaid.gov/policy/ads/200/253maa.pdf">http://www.usaid.gov/policy/ads/200/253maa.pdf</a>
	Federal Advisory Committee Act, Title 5 – U.S.C. - Appendix 2 (against establishing new advisory committees for government)	<a href="http://www.usaid.gov/policy/ads/usclist.html?5uscapp2">http://www.usaid.gov/policy/ads/usclist.html?5uscapp2</a>
	Form to Use Before Obligating Funds	<a href="http://www.usaid.gov/policy/ads/200/200saq.pdf">http://www.usaid.gov/policy/ads/200/200saq.pdf</a>
	Guidance on Consultation and Avoidance of Unfair Competitive Advantage	<a href="http://www.usaid.gov/policy/ads/200/200saf.pdf">http://www.usaid.gov/policy/ads/200/200saf.pdf</a>
	Guidelines for Financial Analysis of Activities	<a href="http://www.usaid.gov/policy/ads/200/2026s5.pdf">http://www.usaid.gov/policy/ads/200/2026s5.pdf</a>
	Implementation Letters	<a href="http://www.usaid.gov/policy/ads/200/20259s1.pdf">http://www.usaid.gov/policy/ads/200/20259s1.pdf</a>

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Category	Additional Help Title	Available At
	Key Individual Certification Narcotics Offenses & Drug Trafficking (See ADS 206 for more information)	<a href="http://www.usaid.gov/policy/ads/200/20657m1.pdf">http://www.usaid.gov/policy/ads/200/20657m1.pdf</a>
	Legal and Policy Considerations when Involving Partners and Customers on Strategic Objective Teams and Other Consultations	<a href="http://www.usaid.gov/policy/ads/200/2016s1.pdf">http://www.usaid.gov/policy/ads/200/2016s1.pdf</a>
	Participant Certification Narcotics Offenses and Drug Trafficking (See ADS 206 for more information)	<a href="http://www.usaid.gov/policy/ads/200/20657m2.pdf">http://www.usaid.gov/policy/ads/200/20657m2.pdf</a>
	Recurrent Costs: Problems in Less Developed Countries	<a href="http://www.usaid.gov/policy/ads/200/rec_cost/recurcst.pdf">http://www.usaid.gov/policy/ads/200/rec_cost/recurcst.pdf</a>
	Results Act, An Evaluator's Guide to Assessing Agency Annual Performance Plans (GAO/GGD-10.1.20)	<a href="http://www.usaid.gov/policy/ads/200/gaoresul.pdf">http://www.usaid.gov/policy/ads/200/gaoresul.pdf</a>

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Category	Additional Help Title	Available At
	Sample 632(a) Memorandum of Agreement to Allocate Funds From USAID to Another Agency	<a href="http://www.usaid.gov/policy/ads/300/306sam.pdf">http://www.usaid.gov/policy/ads/300/306sam.pdf</a>
	Sample 632(a) Memorandum of Agreement to Transfer Funds From USAID to Another Agency	<a href="http://www.usaid.gov/policy/ads/300/306sai.pdf">http://www.usaid.gov/policy/ads/300/306sai.pdf</a>
<b>Operational Policy: Assessing/ Learning</b>	TIPS 01, Conducting a Participatory Evaluation	<a href="http://pdf.usaid.gov/pdf_docs/PNABS539.pdf">http://pdf.usaid.gov/pdf_docs/PNABS539.pdf</a>
	TIPS 02, Conducting Key Informant Interviews	<a href="http://pdf.usaid.gov/pdf_docs/PNABS541.pdf">http://pdf.usaid.gov/pdf_docs/PNABS541.pdf</a>
	TIPS 03, Preparing an Evaluation Scope of Work	<a href="http://pdf.usaid.gov/pdf_docs/PNABY207.pdf">http://pdf.usaid.gov/pdf_docs/PNABY207.pdf</a>
	TIPS 04, Using Direct Observation Techniques	<a href="http://pdf.usaid.gov/pdf_docs/PNABY208.pdf">http://pdf.usaid.gov/pdf_docs/PNABY208.pdf</a>
	TIPS 05, Using Rapid Appraisal Methods	<a href="http://pdf.usaid.gov/pdf_docs/PNABY209.pdf">http://pdf.usaid.gov/pdf_docs/PNABY209.pdf</a>
	TIPS 06, Selecting Performance Indicators	<a href="http://pdf.usaid.gov/pdf_docs/PNABY214.pdf">http://pdf.usaid.gov/pdf_docs/PNABY214.pdf</a>

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Category	Additional Help Title	Available At
	TIPS 07, Preparing a Performance Monitoring Plan	<a href="http://pdf.usaid.gov/pdf_docs/PNABY215.pdf">http://pdf.usaid.gov/pdf_docs/PNABY215.pdf</a>
	TIPS 08, Establishing Performance Targets	<a href="http://www.dec.org/pdf_docs/pnaby226.pdf">http://www.dec.org/pdf_docs/pnaby226.pdf</a>
	TIPS 09, Conducting Customer Service Assessments	<a href="http://www.dec.org/pdf_docs/pnaby227.pdf">http://www.dec.org/pdf_docs/pnaby227.pdf</a>
	TIPS 10, Conducting Focus Group Interviews	<a href="http://pdf.usaid.gov/pdf_docs/PNABY233.pdf">http://pdf.usaid.gov/pdf_docs/PNABY233.pdf</a>
	TIPS 11, The Role of Evaluation in USAID	<a href="http://pdf.usaid.gov/pdf_docs/PNABY239.pdf">http://pdf.usaid.gov/pdf_docs/PNABY239.pdf</a>
	TIPS 12, Guidelines for Indicator and Data Quality	<a href="http://www.dec.org/pdf_docs/pnaca927.pdf">http://www.dec.org/pdf_docs/pnaca927.pdf</a>
	TIPS 13, Building a Results Framework	<a href="http://www.dec.org/pdf_docs/pnaca947.pdf">http://www.dec.org/pdf_docs/pnaca947.pdf</a>
	TIPS 14, Monitoring the Policy Reform Process	<a href="http://pdf.usaid.gov/pdf_docs/PNACA949.pdf">http://pdf.usaid.gov/pdf_docs/PNACA949.pdf</a>
	TIPS 15, Measuring Institutional Capacity	<a href="http://pdf.usaid.gov/pdf_docs/PNACG612.pdf">http://pdf.usaid.gov/pdf_docs/PNACG612.pdf</a>
	TIPS 15 Annexes, Measuring Institutional Capacity Annexes	<a href="http://pdf.usaid.gov/pdf_docs/PNACG624.pdf">http://pdf.usaid.gov/pdf_docs/PNACG624.pdf</a>

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Category	Additional Help Title	Available At
<b>Global Development Alliance</b>	Tools for Alliance Builders	<a href="http://www.usaid.gov/gda">http://www.usaid.gov/gda</a>
<b>Other Issues</b>	Approaches to the Policy Dialogue	<a href="http://www.usaid.gov/policy/ads/200/poldia/poldia.pdf">http://www.usaid.gov/policy/ads/200/poldia/poldia.pdf</a>
	The Center for Faith-Based and Community Initiatives Strategic Partnerships Guidebook	<a href="http://www.usaid.gov/policy/ads/200/200sbp.pdf">http://www.usaid.gov/policy/ads/200/200sbp.pdf</a>
	Guidance on how to Close a USAID Mission – Checklist	<a href="http://www.usaid.gov/policy/ads/500/527mab.pdf">http://www.usaid.gov/policy/ads/500/527mab.pdf</a>
	Human Resources Tools Available to Assist Overseas Missions in Establishing Team-Based Organizational Structures	<a href="http://www.usaid.gov/policy/ads/200/200saw.pdf">http://www.usaid.gov/policy/ads/200/200saw.pdf</a>
	Local Organizations in Development	<a href="http://www.usaid.gov/policy/ads/200/localorg/localorg.pdf">http://www.usaid.gov/policy/ads/200/localorg/localorg.pdf</a>
	PD #1 – Narcotics	<a href="http://www.usaid.gov/policy/ads/200/pd01.pdf">http://www.usaid.gov/policy/ads/200/pd01.pdf</a>

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Category	Additional Help Title	Available At
	PD #66 – Criteria for Determining USAID Loan Terms and for Requesting Acceleration of Loan Repayments	<a href="http://www.usaid.gov/policy/ads/200/pd66.pdf">http://www.usaid.gov/policy/ads/200/pd66.pdf</a>
	Technical Officer's Guide for Evaluating Contractor Performance (part of the Past Performance Handbook – Contractor Performance Report Cards)	<a href="http://www.usaid.gov/policy/ads/300/30259m1.pdf">http://www.usaid.gov/policy/ads/300/30259m1.pdf</a>

**\*200.6 DEFINITIONS**  
Effective Date: 11/05/2009

The terms and definitions listed below have been incorporated into the ADS Glossary. See the [ADS Glossary](#) for all ADS terms and definitions.

**A. Acronyms and Abbreviations**

Acronym	Term
A&A	Acquisition and Assistance
AA	Assistant Administrator
AA	Assistance Agreement
AAPD	Acquisition and Assistance Policy Directive
AAD	Activity Approval Document
ADS	Automated Directives System
AIDAR	Agency for International Development Acquisition Regulations
AFR	Bureau for Africa
ANE	Bureau for Asia and the Near East
AO	Agreement Officer
AO	Assistance Objective
APP	Annual Performance Plan
APR	Annual Performance Report (see PAR)
AWG	Assistance Working Group
CBJ	Congressional Budget Justification
CE	Categorical Exclusion
CFBCI	Center for Faith-Based and Community Initiatives
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CIB	Contract Information Bulletin (see AAPD)
CIO	Chief Information Officer
CO	Contracting Officer
COO	Chief Operating Officer
CP	Conditions Precedent
CTO	Cognizant Technical Officer
DAA	Deputy Assistant Administrator
DAP	Development Assistance Proposal
DCAA	Defense Contract Audit Agency
DCHA	Bureau for Democracy, Conflict and Humanitarian Assistance
DEC	Development Experience Clearinghouse
DFA	Director of Foreign Assistance
DHHS	Department of Health and Human Services
DHS	Demographic and Health Surveys
DOA	Delegation of Authority
DOS	U.S. Department of State
E&E	Bureau for Europe and Eurasia

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<b>Acronym</b>	<b>Term</b>
EA	Environmental Assessment
EGAT	Bureau for Economic Growth, Agriculture, and Trade
EXO	Executive Officer
FAA	Foreign Assistance Act
FAR	Federal Acquisition Regulation
FAR	Fixed Amount Reimbursement
FAS	Freight Along Side
FBCO	Faith-Based and Community Organizations
FMFIA	Federal Managers Financial Integrity Act
FOB	Freight-on-Board
FOG	Field Operations Guide
FSA	FREEDOM Support Act
FSN	Foreign Service National
FSNDH	Foreign Service National Direct Hire
FSNPSC	Foreign Service National Personal Services Contract or Contractor
GAO	Government Accountability Office
GC	Office of General Counsel
GDA	Global Development Alliance
GH	Bureau for Global Health
GPRA	Government Performance and Results Act
HR	Human Resources
IAA	Interagency Agreement
ICASS	International Cooperative Administrative Support Services
IEE	Initial Environmental Examination
IG	Inspector General
IM	Implementing Mechanism
IMF	International Monetary Fund
IR	Intermediate Result
JSP	Joint State-USAID Strategic Plan
LAC	Bureau for Latin America and the Caribbean
LOC	Letter of Credit
LPA	Bureau for Legislative and Public Affairs
M	Bureau for Management
M/FM	Bureau for Management, Office of Financial Management
M/IRM	Bureau for Management, Office of Information Resources Management
M/MPBP	Bureau for Management, Office of Management, Budget, and Performance
M/OAA	Bureau for Management, Office of Acquisition and Assistance
MAARD	Modified Acquisition and Assistance Request Document
MCA	Millennium Challenge Account
MCC	Millennium Challenge Corporation
MCH	Maternal and Child Health Services
MFR	Managing for Results

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Acronym	Term
MOU	Memorandum of Understanding
MSP	Mission Strategic Plan
NGO	Nongovernmental Organization
NOA	New Obligating Authority
NPA	Non-project Assistance
NSS	National Security Strategy
OCI	Organizational Conflict of Interest
OE	Operating Expense
OMB	Office of Management and Budget
OP	Operational Plan
OU	Operating Unit
PAR	Performance and Accountability Report
PASA	Participating Agency Service Agreement
PD	Policy Directive
PD&L	Program Design and Learning
PMI	President's Malaria Initiative
PMP	Performance Management Plan
PPA	Public-Private Alliance
PSC	Personal Services Contract or Contractor
P.L. 480	Public Law 480 (food aid)
PVO	Private Voluntary Organization
RCO	Regional Contracting Officer
RF	Results Framework
RFA	Request for Application
RFP	Request for Proposal
RLA	Regional Legal Advisor
RP	Regional Platform
SEED	Support for Eastern European Democracy
SLC	Special Letter of Credit
SOW	Statement of Work
TAACS	Technical Advisors in AIDS and Child Survival
TCN	Third Country National
TCNPSC	Third Country National Personal Services Contract or Contractor
TCP	Threshold Country Program (for MCC programs)
UEC	Urban and Environmental Credit Program
UN	United Nations
USAID/W	USAID, Washington
USDH	United States Direct Hire
USG	United States Government
USPSC	United States Personal Service Contract or Contractor

## **B. Defined Terms**

### **Accountability for results (or results accountability)**

The establishment of clear responsibility and expectation related to achieving formally approved results. Expectations concerning accountability vary with the degree of control that an individual or Operating Unit has over the results they are managing. (Chapters 200-203)

### **Accrual**

The estimated cost of goods and/or services or other performance received but not yet paid for by the Agency. Accruals are calculated for specific agreements and help provide current information on the financial status of an activity (or group of activities), agreement, or program. In the case of construction, they may be based on percent completed. (See [ADS Series 600](#) for a more technical discussion of this term) (Chapters 200-203)

### **Activity**

An activity is a structured undertaking of limited duration and narrow scope. It mobilizes inputs such as commodities, technical assistance, training or resource transfers in order to produce specific outputs that will contribute to achieving an Assistance Objective. It is developed through the same administrative analytical and approval processes as a more complex project. (See also “project”) (Chapters 200-203)

### **Activity Approval Document (AAD)**

A document that approves one or more activities or projects for implementation. (Chapters 200-203)

### **Activity Manager**

Member of an Assistance Objective Team or sub-team who is responsible for the day-to-day management of one or more specific activities. The Activity Manager is selected by the assistance objective team, and may or may not also have the delegated authorities of a Cognizant Technical Officer (CTO), whose authority to carry out contract management functions is designated by a Contracting or Agreement Officer. (See “Cognizant Technical Officer (CTO)”) (Chapters 200-203)

### **Agency Goal (see Foreign Assistance Goal)**

### **Agency Mission Statement (see Joint State-USAID Mission Statement)**

### **Agency Strategic Plan (ASP) (See Joint State-USAID Strategic Plan)**

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**Assistance Agreement**

A bilateral obligating document under which sub-obligations may be made for contracts, grants and cooperative agreements. It sets forth a mutually agreed upon understanding between USAID and the host government of the time frame, results expected to be achieved, means of measuring those results, resources, responsibilities, and contributions of participating entities for achieving a clearly defined objective.

**Assistance Objective**

The most ambitious result that a USAID Mission/Office, along with its partners, can materially affect, and for which it is willing to be held accountable.

**Assistance Objective Team**

A group of people with complementary skills who are empowered to achieve a specific Foreign Assistance result for which they are willing to be held accountable. The primary responsibility of an assistance objective team is to make decisions in designing and implementing activities and projects related to accomplishing the result. Another essential function is to ensure open communication and collaboration across organizational boundaries at all phases of the development process. Assistance objective teams may decide to organize sub-teams if they wish to manage complex projects more efficiently. They are composed of USAID employees and those partners and customers considered to be essential for achieving the Foreign Assistance result. (Chapters 200-203)

**Assistance Working Group**

Assistance Working Groups include staff from State and USAID Regional or Pillar Bureaus, and are led by Country or Functional Coordinators from the Office of the Director of U.S. Foreign Assistance. They support Operating Units in addressing budgeting and programming issues.

**Attribution**

Ascribing a causal link between observed changes (results) and a specific intervention. A result is attributable to the USAID, or USAID can claim credit for a result, even when other partners are involved in achieving the result, if USAID can claim that without USAID intervention the outcome would not have taken place. (Chapters 200-203)

**Baseline**

**(See Performance Baseline)**

**Bureau Planning Framework**

A description of the tactical priorities for a sector or region (in some cases a country). It serves to guide Operating Unit Strategic Plans within that Bureau. (Chapters 200-203)

**Cognizant Technical Officer (CTO)**

The individual who performs functions that are designated by the Contracting or Agreement Officer, or are specifically designated by policy or regulation as part of contract or assistance administration. In other parts of the U.S. Government, the

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synonymous term is usually Contracting Officer's Technical Representative (COTR). (See **Activity Manager and [ADS 300](#)**) (Chapters 200-203)

### **Conditions Precedent (CP)**

A condition or set of conditions that must be met before USAID will agree to disburse funding (for example, if the host country laws require legislative approval of a bilateral Assistance Agreement (AA), then USAID must receive evidence of that approval before funds disbursement). (Chapters 200-203)

### **Covenant**

A condition that must be met during the execution of a bilateral Assistance Agreement (such as after disbursement of USAID funding). If not adhered to, the terms of the Agreement are in default. (Chapters 200-203)

### **Critical Assumption**

A general condition under which the development hypothesis, or strategy for achieving the objective, will hold true. Critical assumptions are outside the control or influence of USAID and its partners (in other words, they are not results), but they reflect conditions likely to affect the achievement of results in the Results Framework, such as the level of world prices or the openness of export markets. (Chapters 200-203)

### **Customer**

The person or group who is receiving a service, or who is considered the recipient or beneficiary of a given result or output. There are several different types of USAID customers:

- *Ultimate customers*: Those host country individuals, especially the socially- and economically-disadvantaged, who are beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results.
- *Intermediate customers*: Those organizations, including host country governments that receive USAID services to implement programs that are designed to benefit the ultimate customer. This includes private voluntary organizations (PVOs), contractors, and host country entities.
- *Internal/process customer*: Bureaus, Offices, Operating Units, and individuals within USAID that benefit from and participate in the activities undertaken by other Bureaus, Offices, Operating Units, and individuals within the Agency.
- *Washington and U.S.-based customers*: U.S. Government entities, or individuals representing such an entity, at whose behest USAID carries out its programs and who have a stake in the program results that USAID produces. Examples include Congress, the Office of Management and Budget (OMB), and the Department of State. Congress represents U.S. taxpayers. (Chapters 200-203)

### **Delegation of Authority (DOA)**

A document that officially recognizes when an official, vested with certain powers (authorities), extends that power (authority) to another individual or position within the chain of command. (Chapters 201-202)

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**De-obligation**

The process of removing unneeded funds from an obligating instrument. This step is typically done upon completion of activities when unliquidated obligations might have become excessive or might no longer be needed for their original purpose. (Chapters 200-203)

**Development Actors**

The full range of organizations both public and private who seek to achieve improvements in society. These groups can include private sector companies, foundations, universities, philanthropic leaders, multilateral organizations, faith-based membership organizations, and ethnic diasporas sending money home to their country of origin. (Chapters 200-203)

**Development Alliance  
(See Public-Private Alliance)****Development Credit Authority (DCA)**

Authority that permits USAID to issue partial loan guarantees to private lenders to achieve the economic development objectives in the Foreign Assistance Act.

**Development Hypothesis**

A narrative description of the specific causal links between intermediate results and the Assistance Objective. The hypothesis is based on sound development theory, knowledge, and experience. Generally, the term refers to plausible links and not statistically accurate relationships. (Chapters 200-203)

**Disbursement**

Payments made by the Agency to other parties using cash, check, or electronic transfer. (Chapters 200-203)

**Due Diligence**

The technical term for the necessary assessment of the past performance, reputation, and future plans of a prospective alliance partner, private sector, or other entity, with regard to various business practices and principles. This assessment of a prospective alliance partner would normally involve, at a minimum, examining their social, environmental, and financial track records. (Chapters 201-202)

**Environmental Impact Statement**

A detailed study of the reasonably foreseeable positive and negative environmental impacts of a proposed USAID action and its reasonable alternatives on the United States, the global environment, or areas outside the jurisdiction of any nation. (See [ADS 204](#) and Mandatory Reference, 22 CFR 216) (Chapters 200-203)

**Evaluation**

Evaluation is the systematic collection of information about the characteristics and outcomes of Assistance Objectives, projects, or activities in order to make judgments,

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improve effectiveness, and/or inform decisions about current and future programming. (Chapters 200-203)

### **Expenditures**

The sum total of disbursements and accruals in a given time period. These are typically calculated for specific agreements, activities, and programs. Expenditures are estimates of the total cost incurred by the Agency for a given agreement, activity, or program. Also referred to as accrued expenditure. (See [ADS 600](#) for a more technical discussion of this term) (Chapters 200-203)

### **Foreign Assistance Framework**

A framework that details the overarching foreign assistance goal, foreign assistance objectives, accounts, illustrative program areas, category definitions, end goals, and graduation trajectory. (Chapters 200-203)

### **Foreign Assistance Framework Standardized Program Structure and Definitions**

A listing of program categories that provides common definitions for the use of foreign assistance funds. The definitions identify very specifically and directly *what* USAID is doing, not *why* it is doing it. (Chapters 200-203)

### **Foreign Assistance Goal**

The Foreign Assistance Goal defined under the Joint State-USAID Foreign Assistance Framework is “To help build and sustain democratic, well-governed states that respond to the needs of their people, reduce widespread poverty, and conduct themselves responsibly in the international system.” (Chapters 200-203)

### **\*Gender**

Gender is a social construct that refers to relations between and among the sexes, based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, is dynamic and open to change over time. Because of the variation in gender across cultures and over time, gender roles should not be assumed but investigated. Note that “gender” is not interchangeable with “women” or “sex.” (Chapters 200-203)

### **\*Gender Equality**

A broad concept and a goal for development. It is achieved when men and women have equal rights, freedoms, conditions, and opportunities for realizing their full potential and for contributing to and benefiting from economic, social, cultural, and political development. It means society values men and women equally for their similarities and the diverse roles they play. It signifies the outcomes that result from gender equity strategies and processes. (Chapters 200-203)

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**\*Gender Equity**

The process of being fair to women and men. To ensure fairness, measures must often be available to compensate for historical and social disadvantages that prevent women and men from otherwise operating on a level playing field. Equity leads to equality. (Chapters 200-203)

**Global Development Alliance**

The Agency's business model promoting public-private alliances as a central element of USAID's strategic assessment, planning, and programming efforts. This initiative involves recognition of a changed role for USAID in development assistance and outreach to an expanded range of potential partners. (Chapter 200-203)

**Host Country**

The country in which a USAID-funded activity takes place. (Chapters 200-203)

**Implementing Mechanism**

A legally binding relationship established between an executing agency (generally a USG agency like USAID or a host government agency) and an implementing entity (contractor or grantee) to carry out USG-funded programs. An implementing mechanism is authorized to use USG funds to: acquire services or commodities; provide assistance (a grant or loan); or fulfill specific agreements such as cash transfers to host-country governments. Examples of implementing mechanisms include contracts, cooperative agreements, grants, inter-agency agreements, fixed amount reimbursement and performance agreements and cash transfers to host country governments. (Chapters 200-203)

**Impact**

Impact refers to the effects, usually medium and long-terms, produced by a project/program. The impacts can be intended or unintended, positive and negative.

**Implementation Letters**

Formal correspondence between USAID and another party following a formal agreement that obligates funding. Implementation letters serve several functions, including providing more detailed implementation procedures, providing details on terms of an agreement, recording the completion of conditions precedent to disbursements, and approving funding commitments and mutually agreed upon modifications to program descriptions. (Chapters 200-203)

**Indicator**

**(See Performance Indicator)**

**Initial Environmental Examination**

The first review of the reasonably foreseeable effects of a proposed action on the environment. Its function is to provide a brief statement of the factual basis for a Threshold Decision as to whether an Environmental Assessment or an Environmental Impact Statement will be required. (See [ADS 204](#)) (Chapters 200-203)

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**Input**

A resource, such as technical assistance, commodities, training, or provision of USAID staff, either Operating Expenses- (OE) or program-funded, that is used to create an output. (Chapters 200-203)

**Instrument**

A contract, grant, DCA partial loan guarantee, bilateral agreement, or other mechanism that obligates or sub-obligates program or Operating Expenses (OE) funds. (Chapters 200-203)

**Intensive Program Review**

Conducted at least once every three years by USAID Regional Bureaus for each USAID Mission/Office or program for which the Bureau is responsible. The review provides an opportunity to examine planned and actual progress toward results set forth in the Results Framework and Performance Management Plan for each Assistance Objective, to advise on proposed course corrections in order to improve program outcomes and impact, and to review future resource requirements. (Chapter 203)

**Intermediate Customer  
(See Customer)****Intermediate Result (IR)**

An important result that is seen as an essential step to achieving a higher level result or outcome. IRs are measurable results that may capture a number of discrete and more specific lower level results. (Chapters 200-203)

**Internal/Process Customer  
(See Customer)****Joint Country Assistance Strategy**

A joint country assistance strategy encompasses all USG foreign assistance programs funded under the Foreign Assistance Act. It summarizes and prioritizes the USG's country-specific foreign assistance goals over a five year period. Developed in consultation with the host government as well as with key stakeholders the plan reflects U.S. government commitment to partnership with the host-country and other international donors, both public and private, in addressing the country's development problems. It provides a vision of what the country will look like in five years, if the assistance goals are achieved. (See also **USAID Country Strategic Plan**) (Chapters 200-203)

**Joint State-USAID Mission Statement**

The joint Mission Statement is "Advance freedom for the benefit of the American people and the international community by helping to build and sustain a more democratic, secure, and prosperous world composed of well-governed states that respond to the needs of their people, reduce widespread poverty, and act responsibly within the international system." (Chapters 200-203)

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### **Joint State-USAID Strategic Plan**

The latest version of the Plan covers the period 2007-2012. Issued in June 2007, it articulates a vision of transformational diplomacy focused on five key development objectives, whereby countries receiving USG foreign assistance progress along a continuum from “rebuilding” to “sustainable partnership.” Each stage of the continuum includes a well-defined end goal and a graduation trajectory. Working with host countries on a partnership basis to strengthen their institutional and management capacity is central to the Plan. (See also Joint Country Assistance Strategy, USAID Country Strategic Plan) (Chapters 200-203)

### **Leveraging**

Influencing significant resource mobilization beyond USAID’s direct contribution. In the case of public-private alliances, USAID seeks the mobilization of resources of other actors on a 1:1 or greater basis. Resources may include funds, in-kind contributions, and intellectual property. (Chapters 200-203)

### **Logical Framework (Logframe)**

A rigorous methodology used for project design that focuses on the causal linkages between project inputs, outputs, purpose, and desired outcome (or goal). When completed, logframe components will be detailed enough to provide specific and clear information for preparing project documentation. (Chapters 201-203)

### **Manageable Interest**

The concept of manageable interest recognizes that achievement of results requires joint action on the part of many other actors such as host country governments, institutions, other donors, civil society, and the private sector. When an objective is within USAID’s manageable interest, it means that the Agency has reason to believe that its ability to influence, organize, and support others around commonly shared goals can lead to the achievement of desired results, and that the probability of success is high enough to warrant expending program and staff resources. A result is within an entity’s manageable interest when there is sufficient reason to believe that its achievement can be significantly and critically influenced by interventions of that entity. (Chapters 200-203)

### **Memorandum of Understanding (MOU)**

A document that sets forth an agreement between parties. A Memorandum of Understanding may be used to cover a range of topics including results to be achieved, activities to be implemented, and the respective roles and responsibilities of each party. An MOU is not used for obligating funds. However, an MOU may be used to confirm an agreement with a host government on a program that USAID will fund directly through an obligating instrument signed with other parties. (Chapters 200-203)

### **Mission Strategic Plan**

A country-specific document prepared by a field Operating Unit under the guidance of the Ambassador, which identifies programmatic and operational priorities in line with overall foreign policy considerations and strategic goals of the joint country assistance

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strategy and proposes initial country budget allocations for that post, two years before expected appropriation. The MSP demonstrates how these resources are expected to help the host country move along the transformational diplomacy continuum over time. (Chapters 200-203)

### **Mortgage**

A claim on future resources; the difference between the total planned level of funding for Assistance Objectives and the cumulative total amount of funds obligated to a particular Program Area, Assistance Objective, project, or activity. (Chapters 202, 602)

### **National Security Strategy (NSS)**

The NSS is an overarching U.S. Government policy document that covers the national security principles underlying U.S. foreign policy. As published in September 2002, its main themes include promoting “human dignity” through political and economic freedom; providing security against terrorism and weapons of mass destruction; working with others to defuse regional conflicts; and strengthening America’s national security institutions. Objectives of development assistance are central to the document, which was prepared by the National Security Council. (Chapters 200-203)

### **Non-project Assistance (NPA)**

Non-project assistance is also known as program assistance. The distinguishing feature of program assistance is the manner in which USAID resources are provided. Under this mode, USAID provides a generalized resource transfer, in the form of foreign exchange or commodities, to the recipient government. This is in contrast to other types of assistance in which USAID finances specific inputs, such as technical assistance, training, equipment, vehicles, or capital construction. (This distinction parallels distinctions in law and previous USAID usage between project and nonproject assistance.) (Chapters 200-203)

### **Operating Expenses (OE)**

Costs related to personnel, other administration costs, rental, and depreciation of fixed assets. (Chapters 200-203)

### **Operating Unit**

An Operating Unit is the organizational unit responsible for implementing a foreign assistance program for one or more elements of the Foreign Assistance Framework. The definition includes all USG Agencies implementing any funding from the relevant foreign assistance accounts (the 150 accounts). For USAID, it includes field Missions, regional entities and USAID/Washington Offices that expend program funds to achieve Foreign Assistance Objectives. (Chapters 200-203)

### **Operational Plan**

An Operational Plan provides details on the use of foreign assistance funding for a specific fiscal year. It identifies where, and on what, programs funds will be spent, which USG agencies will manage the funds, and who will implement the programs. A primary objective of the Operational Plan is to ensure coordinated, efficient, and effective use of

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all USG foreign assistance resources in support of the transformational diplomacy goal and related foreign policy priorities. (Chapters 200-203)

**Operations Policy**

Program procedures, rules, and regulations affecting the management of USAID internal systems, including budget, financial management, personnel, procurement, and program operations. (Chapters 200-203)

**Outcome**

A higher level or end result at the Assistance Objective level. An outcome is expected to have a positive impact on and lead to change in the development situation of the host country. (Chapters 200-203)

**Output**

A tangible, immediate, and intended product or consequence of an activity within USAID's control. Examples of outputs include people fed, personnel trained, better technologies developed, and new construction. Deliverables included in contracts will generally be considered outputs, as will tangible products and consequences of USAID grantees. (Chapters 200-203)

**Partner**

An organization or individual with which/whom the Agency collaborates to achieve mutually agreed upon objectives and to secure participation of ultimate customers. Partners include host country governments, private voluntary organizations, indigenous and international nongovernmental organizations (NGOs), universities, other U.S. Government agencies, United Nations and other multilateral organizations, professional and business associations, and private businesses and individuals. (Chapters 200-203)

**Performance Baseline**

The value of a performance indicator before the implementation of USAID-supported activities that contribute to the achievement of the relevant result. (Chapter 200-203)

**Performance Budgeting  
(See Strategic Budgeting)**

**Performance Indicator**

A particular characteristic or dimension used to measure intended changes defined by a Results Framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. Performance indicators help answer how or if a USAID Mission/Office or assistance objective team is progressing towards its objective(s), rather than why such progress is or is not being made. Performance indicators may measure performance at any level of a Results Framework. (Chapters 200-203)

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### **Performance Management**

Performance management is the systematic process of monitoring the achievements of program operations; collecting and analyzing performance information to track progress toward planned results; using performance information and evaluations to influence Assistance Objective decision making and resource allocation; and communicating results achieved, or not attained, to advance organizational learning and tell the Agency's story. (Chapters 200-203)

### **Performance Management Plan**

A tool used by a USAID Mission/Office and assistance objective team to plan and manage the process of assessing and reporting progress towards achieving an Assistance Objective. Known as a "performance monitoring plan" until 2002. (Chapters 201-203)

### **Performance Report**

The Performance Report documents USG foreign assistance results achieved over the past fiscal year and requests funds for the next fiscal year.

### **Performance Target**

Specific, planned level of result to be achieved within an explicit timeframe. (Chapters 200-203)

### **Pillar Bureau**

Pillar Bureaus provide leadership and innovation in their respective fields. The three Pillar Bureaus are Economic Growth, Agriculture, and Trade (EGAT); Democracy, Conflict, and Humanitarian Assistance (DCHA); and Global Health (GH). Pillar Bureaus concentrate on program activities that support USAID Operating Units in the field. (Chapters 200-203)

### **Planning Parameters**

The limits, constraints, and options within which decision-making and planning takes place, especially for the development of Mission Strategic Plans and Operational Plans. (Chapters 200-203)

### **Portfolio Review**

A periodic review of all aspects of a USAID Mission/Office's Assistance Objective, projects, and activities, often held prior to preparing the annual joint Operational Plan. (Chapter 200-203)

### **Program Area**

One of the several categories in the Foreign Assistance Framework that identify broad programmatic interventions (such as Counter Narcotics, Health, or Private Sector Competitiveness). Program Areas can be funded by more than one appropriation account. (Chapters 200-203)

**Program Assistance**

Program assistance is also known as Non-project Assistance. The distinguishing feature of program assistance is the manner in which USAID resources are provided. Under this mode, USAID provides a generalized resource transfer, in the form of foreign exchange or commodities, to the recipient government. This is in contrast to other types of assistance in which USAID finances specific inputs, such as technical assistance, training, equipment, vehicles, or capital construction. (This distinction parallels distinctions in law and previous USAID usage between project and non-project assistance.) (Chapters 200-203)

**Program Design and Learning (PD&L) (formerly Program Development & Learning)**

A programming category that includes design and evaluation activities conducted by the USG, such as project design teams or special evaluations. (Chapters 201-203)

**Program Element**

Program Elements are categories that reflect the different components of a Program Area. Examples would be Alternative Development and Alternative Livelihoods within Counter Narcotics, HIV/AIDS within Health, and Business Enabling Environment within Private Sector Competitiveness. (Chapters 200-203)

**Program Sub-Element**

Program sub-elements are categories that reflect the different components of a Program Element. An example would be Farmer/Community Group Support within Alternative Development and Alternative Livelihoods, Preventing Mother-to-Child Transmission within HIV/AIDS, or Property Rights within Business Enabling Environment. (Chapters 200-203)

**Program Review (See Intensive Program Review)****Project**

A project is a structured undertaking of limited duration and broad scope. Through its component activities, a project mobilizes inputs such as commodities, technical assistance, training, or resource transfers in order to produce specific outputs or results that will contribute to achieving an Assistance Objective. It is developed through the same administrative, analytical and approval processes as a stand-alone activity. (See “activity”) (Chapters 200-203)

**Public-Private Alliance (PPA)**

An agreement between two or more parties involving joint definition of a development problem and shared contributions to its solution. Alliances are characterized by a shared understanding of the development problem or issue; a shared belief that an alliance will be more effective than any approach taken by a single actor; a shared commitment of resources; significant use of limited resources; and perhaps most important, a willingness to share risks. (Chapters 200-203)

**Result**

A significant, intended, and measurable change in the condition of a customer, or a change in the host country, institutions, or other entities that will affect the customer directly or indirectly. Results are typically broader than USAID-funded outputs and may require support from other donors and partners not within USAID's control. (Chapters 200-203)

**Results Framework**

A planning, communications, and strategic management tool that conveys the development hypothesis implicit in the Assistance Objective, illustrating the cause-and-effect linkages between outputs, Intermediate Results (IR), and the Assistance Objective (the final result or outcome) to be achieved with the assistance provided. A Results Framework includes the IRs necessary to achieve the outcome, whether funded by USAID or its partners. It includes any critical assumptions that must hold for the development hypothesis to lead to the relevant outcome. Typically, it is laid out in graphic form supplemented by narrative. (Chapters 200-203)

**Sector Council**

A group of technical experts in a given sector (for example, health, education, economic growth), who represent regional bureaus and the relevant pillar bureau. Sector councils meet regularly to discuss issues of concern to the sector and are a means of achieving technical consensus on a wide range of development issues. They also make policy and budget recommendations, identify and share best practices across geographic regions, and provide technical leadership within USAID.

**\*Sex**

A biological construct that defines males and females according to physical characteristics and reproductive capabilities. For monitoring and reporting purposes, USAID disaggregates data by sex, not by gender. Gender and sex are not synonyms. See gender. (Chapters 200-203)

**Stakeholders**

Those who are affected by a development outcome or have an interest in a development outcome. Stakeholders include customers (including internal, intermediate, and ultimate customers) but can include more broadly all those who might be affected adversely, or indirectly, by a USAID activity who might not be identified as a "customer." (Chapters 200-203)

**Strategic Budgeting**

A programming policy that closely links resource allocation with strategic priorities and performance. It is a core element of results-based management. (Chapters 200-203)

**Strategic Plan**

**(See Joint State-USAID Strategic Plan; Joint Country Assistance Strategy; USAID Country Strategic Plan)**

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**Target**  
**(See Performance Target)**

**Transformational Diplomacy**

Helping to build and sustain democratic, well-governed states that will respond to the needs of their people, reduce widespread poverty, and conduct themselves responsibly in the international system. Working in partnership with the host countries to strengthen their institutional and management capacity is central to the transformational diplomacy concept. (Chapters 200-203)

**Ultimate Customer**  
**(See Customer)**

**USAID Country Strategic Plan**

In countries where a multi-agency country plan is not in place or not under development, USAID may develop a multi-year country strategic plan. If a multi-agency plan is subsequently approved, it will supersede USAID's country strategic plan. (Chapters 200-203)

**Washington Customer**  
**(See Customer)**

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